

**PROCESSES AND SYSTEMS SUPPORTING
FOSTER CARE AND ADOPTION
ASSISTANCE FINANCIAL MANAGEMENT IN
CALIFORNIA COUNTIES**

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1.0 EXECUTIVE SUMMARY

The Child Welfare Services Case Management System (CWS/CMS) project commissioned MGT of America, Inc. (MGT) to determine the impact of replacing income maintenance legacy systems with Statewide Automated Welfare Systems (SAWS) on California counties' ability to issue payments and manage other financial aspects of the Foster Care and Adoption Assistance programs.

To determine how the replacement of legacy systems will impact the financial management functions related to foster care and adoptions, MGT sought information about:

- What systems currently support the Foster Care and Adoption Assistance programs financial management process;
- How those systems interface with each other; and
- Which of these systems counties intend to replace with SAWS systems.

MGT studied the current and planned technical environments of 23 California counties. Specifically, we focused on Los Angeles County, the four counties that comprise the Consortium IV (C-IV) SAWS consortium, and the 18 counties that make up the California Welfare Information Network (CalWIN) consortium. We targeted these counties for detailed study because development efforts are currently underway for their SAWS, and these counties face the migration from the legacy environment to the SAWS systems sooner than other counties. The remaining 35 California counties belong to the Interim Statewide Automated Welfare System (ISAWS) consortium. Although the ISAWS consortium has begun a study to determine future directions, the ISAWS counties face no imminent change resulting from a major systems replacement effort. Therefore, these counties did not require detailed study.

In addition to studying the current environments of the above counties, we developed an understanding of the existing and planned financial management

functionality of the three SAWS efforts currently underway: Los Angeles Eligibility Automated Determination, Evaluation, and Reporting (LEADER), CalWIN and C-IV.

MGT gathered the following types of documentation:

- Solicitation of Proposals and Invitation to Partner;
- Planning reports;
- Reports to oversight agencies; and
- Functional requirements.

Based on information provided by county and consortia staff, Los Angeles County and the counties making up the CalWIN and C-IV consortia will not experience a significant disruption in the support of Foster Care and Adoption Assistance programs financial management processes for the following reasons:

- To address the need for a statewide automated welfare system, Los Angeles County is implementing the Los Angeles Eligibility Automated Determination, Evaluation, and Reporting (LEADER) system. LEADER, Department of Public Social Services (DPSS) operated, supports the welfare-to-work (i.e. Temporary Assistance to Needy Families) programs and has virtually no impact on the children served by the Los Angeles Department of Children and Family Services (DCFS). Los Angeles County has no immediate plans to replace the systems that support Foster Care and Adoption Assistance programs financial management.
- For the 18 counties comprising the CalWIN consortium, responses to our survey indicate that the counties intend to replace their legacy Welfare Case Data System (WCDS) with the CalWIN system. The current CalWIN system plans contain provisions to carry forward all the functionality contained in the WCDS and other legacy systems that support financial management processes.
- The four-county C-IV consortium faces a similar situation. The counties indicate that they intend to replace their legacy systems with the C-IV application because all existing functionality is included in the planned system.

Both the CalWIN and C-IV consortia intend to design flexible systems to allow counties to integrate the new applications with other applications that support the financial management processes. For example, all counties have interfaces between their legacy income maintenance systems and their county Auditor/Controller financial management systems. In some cases, counties use the Auditor/Controller systems to

issue benefits, while other counties issue benefits from their legacy income maintenance systems and update their financial management systems with expenditure data. The CalWIN and C-IV system designs allow counties to customize the applications to fit whatever business model they find most comfortable.

Today, counties use a full range of income maintenance legacy systems, county financial systems, and additional systems to capture and manipulate data used in the Title IV-E and Title IV-B financial management process. In this process, CWS/CMS provides via hardcopy documents the background data (e.g. on clients, dates, and providers) that supports financial management functions performed by other systems.

All current or planned SAWS systems have or will have the required financial management functionality to support accounts receivable, accounts payable, and claims processing to support the range of SAWS programs, i.e. TANF, Food Stamps, Title XIX, Refugees, General Assistance, etc. In their procurement and design documents, WCDS and Consortium IV plan to link their systems to CWS/CMS to fully support Title IV-E and IV-B programs' financial management needs.

In conclusion, the Federal Administration for Children and Families requires SACWIS systems to be efficient, economical and effective solutions to administrate Title IV-E and Title IV-B programs. Specifically, statewide automated child welfare information systems (SACWIS) requirements call for financial management functionality to be contained in the SACWIS system or to be available through an automated interface to a statewide or department financial system. In a recent review of CWS/CMS, the ACF indicated that CWS/CMS could support financial management functions through interfaces to county accounting systems, which could mean up to 58 links in California. Given California's current environment, incorporating financial management functionality in CWS/CMS or a stand-alone system would be time consuming, expensive, and duplicative of efforts underway to develop the functionality in

SAWS systems, where it is needed to support the financial management needs of SAWS' programs. California's vision of interfacing to SAWS is the timeliest, most cost-effective approach.

2.0 PROJECT BACKGROUND

2.1 Scope and Methodology

Some of California's Foster Care and Adoption Assistance programs' financial management processes are currently handled by legacy income maintenance systems¹ that are being converted to new automated systems. The CWS/CMS project commissioned MGT to assess whether the counties' ability to issue payments and manage other financial aspects of the Foster Care and Adoption Assistance programs (Titles IV-B and IV-E of the Federal Social Security Act) will be disrupted by the replacement of these legacy systems. The goal of the project was to determine what impact the impending replacement of legacy income maintenance systems with SAWS systems will have on counties' financial management processes that support Foster Care and Adoption Assistance programs.

To accomplish this goal, MGT focused on Los Angeles County, the four counties that comprise the C-IV SAWS consortium, and the 18 counties that make up the CalWIN consortium. We targeted these counties for detailed study because planning or development efforts are currently underway for their SAWS, and these counties face the migration from the legacy environment to the SAWS systems sooner than other counties. The remaining 35 counties belong to the ISAWS consortium. The ISAWS consortium is currently conducting a study to determine the future direction of that system. However, since the ISAWS consortium currently does not have any replacement efforts underway, the ISAWS counties do not face an imminent change resulting from a major systems replacement effort and therefore did not require detailed study.

¹ Income maintenance systems handle social services programs such as Food Stamps, Medi-Cal (Title XIX) and General Assistance. Examples of income maintenance systems include the Interim Statewide Automated Welfare system (ISAWS) and Welfare Case Data System (WCDS).

To determine how the replacement of legacy systems will impact the financial management functions related to foster care and adoptions, MGT sought information about

- What systems currently support the Foster Care and Adoption Assistance programs' financial management process;
- How those systems interface with each other; and
- Which of these systems counties intended to replace with SAWS systems.

MGT's approach involved a combination of on-site interviews and a broadly distributed survey. To understand Los Angeles County's environment, we interviewed representatives from the Los Angeles Eligibility Automated Determination, Evaluation, and Reporting (LEADER) project, which is the county's SAWS project. We also visited with several representatives of the Los Angeles Department of Children and Family Services (DCFS) to gather information on their processes and systems. For the remaining 22 counties, we interviewed Sacramento and San Bernardino counties and distributed a survey that asked for information about financial management business processes and what systems supported them. Please refer to Appendix A for a sample of the survey instrument.

The second component of the assessment involved developing an understanding of the planned financial management functionality of the three SAWS efforts currently underway: LEADER, CalWIN, and C-IV. MGT gathered the following types of documentation:

- Initial solicitation materials;
- Planning reports;
- Reports to oversight agencies; and
- Functional requirements.

In addition, we interviewed representatives from each consortium, the Health and Human Services Data Center (HHSDC) SAWS project office and the California Department of Social Services.

The remainder of this chapter describes the Child Welfare Services Program, the Foster Care and Adoption Assistance programs, and the history of the SAWS project. Other chapters will describe the current and planned environments for financial management functionality in the four SAWS consortia.

2.2 Child Welfare Services Program

In California, the Department of Social Services, Children and Family Services Division, provides child welfare services. The department is responsible for an array of programs and services for at-risk families and children, including investigation of child abuse and neglect referrals, oversight of a system for out-of-home care for children who can not remain with their families and facilitation of adoptions for children who need permanent homes.

While the State of California develops policies and regulations governing the Child Welfare Services Program, the program is run by county welfare departments which investigate allegations of child abuse and neglect and provide case management and support services to children and their families. The state's program consists of four main components:

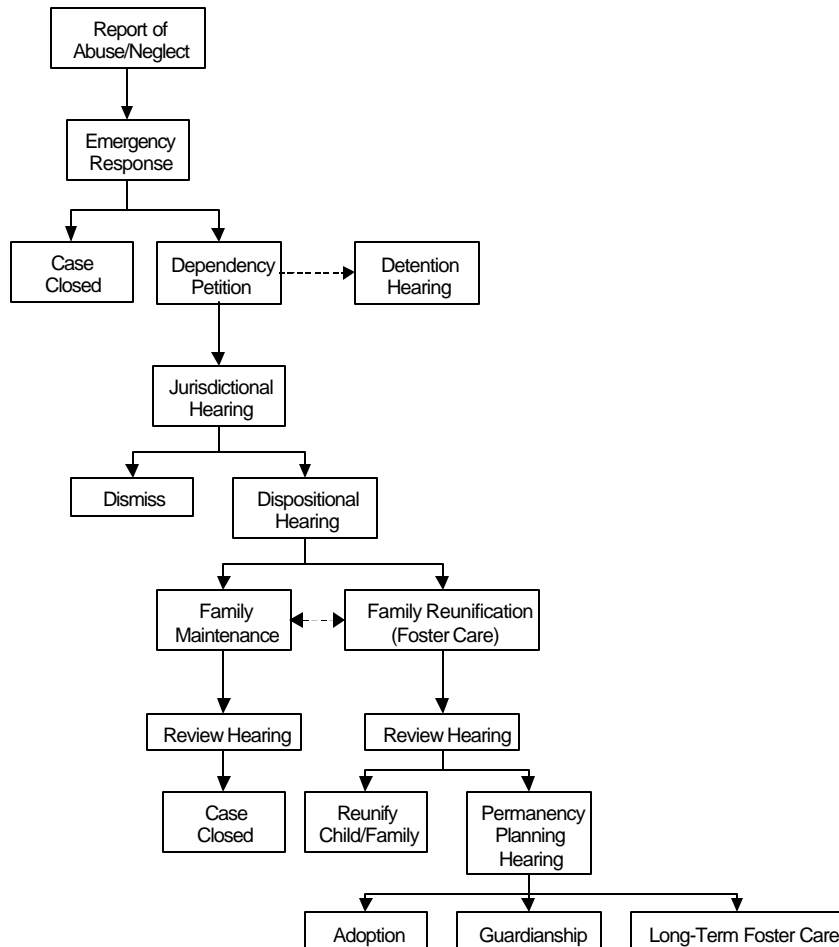
- *Emergency Response (ER)* – the initial intake point for the program in which social workers respond to reports of abuse or neglect;
- *Family Maintenance (FM)* – provides support services to prevent abuse or neglect while the child remains in his or her home;
- *Family Reunification (FR)* – provides support services to the family while the child is in temporary foster care; and

- *Permanent Placement (PP)* – provides management and placement services to children in foster care who cannot be returned to their families.²

While each county has its own unique process for handling cases of child abuse and neglect, Exhibit 2-1 provides a generic overview of how cases are processed.

EXHIBIT 2-1

GENERIC CHILD WELFARE SERVICES PROCESS



* *Child Abuse and Neglect in California* Legislative Analyst's Office. January 5, 1996.

² *Child Abuse and Neglect in California*. Legislative Analyst's Office. January 5, 1996.

2.3 Foster Care and Adoption Assistance Program

Two major components of the Child Welfare Services Program are Foster Care and Adoption Assistance. For those children who cannot safely remain in their homes, foster care provides out-of-home placements to ensure the child's well being. While in foster care, the goal of child welfare workers is to reunify the child with his or her family. However, in cases in which reunification is not possible, the child becomes eligible for adoption, and an adoptive home is sought. In adoption cases, some families may participate in the Adoption Assistance Program (AAP). The AAP provides financial support for adoption-related expenses and helps families with limited financial means adopt children. Authorized under Title IV-B and Title IV-E of the Social Security Act, Foster Care and Adoption Assistance programs provide federal matching funds to support the programs.

Funds available to states from Title IV-B may be used for services to families and children without regard to family income. Family preservation services are intended for children and families at risk or in crisis. Services include programs to reunite children with their biological families and placement of children in foster care or other permanent arrangements. Family support services attempt to reach families not yet in crisis and to prevent child abuse or neglect from occurring. Examples include referral services and training on parenting skills. In addition, Title IV-B provides funding for child welfare research projects, staff training, and demonstration projects.

Title IV-E provides support for foster care maintenance payments to those children who would have been eligible for Aid to Families with Dependent Children (AFDC) if still in their homes. Title IV-E covers costs associated with food, clothing, shelter, daily supervision, school supplies, a child's personal incidentals, liability

insurance, administrative expenses, and travel to a child's home for visitation.³ Title IV-E also authorizes the AAP. The AAP provides funds for one-time payment for the costs of adopting a child as well as for monthly subsidies to adoptive families for on-going child care needs. Children receiving monthly subsidies must be eligible for public assistance under the former AFDC program or for Supplemental Social Security Income (SSI). In addition, Title IV-E provides funds for training of professional staff and parents involved in adoptions.

2.4 History of Statewide Automated Welfare Systems (SAWS)

Since the 1970s, the State of California has attempted to implement a statewide automated welfare system. However, efforts to implement the system have been hampered by changes in strategic direction. In the 1970s, the state attempted to deploy a single statewide system. In the 1980s, the approach changed to a multiple system approach. In the early 1990s, the approach reversed to a single statewide system. In 1995, the state returned to the multiple system approach when it was determined that the statewide automation effort was not working as planned and that the technical approach was outdated, expensive, and probably would not work as the statewide solution.

In 1995, the California Welfare Directors' Association (CWDA) advocated adoption of a four-system consortia approach for several reasons. First, the state had attempted to deploy a statewide system numerous times without success and counties believed that they could be successful in implementing multiple systems. Second, the welfare directors believed that counties' business processes differed significantly and a

³ 1998 *Green Book*. Committee on Ways and Means. U.S. House of Representatives. Page 729-730. May 19, 1998.

single system could not address these differences. Third, counties wanted to actively participate in developing the solution.

The counties worked with the state and CWDA to establish a vision, goals, and objectives for SAWS.⁴ The vision continues to guide the SAWS effort to automate the following public assistance programs:

- AFDC⁵;
- Food Stamps;
- Medi-Cal;
- Foster Care;
- Refugee Assistance Programs; and
- County Medical Service Programs (CMSP).

Automated functions will include a central database, eligibility determination, benefit computation, benefit delivery, case management, and management information.⁶ The reader should note that CWS/CMS will provide case management support for Foster Care and Adoption Assistance programs.

The new SAWS approach detailed four consortia to develop solutions to automate California welfare programs. The four consortia, each system name, and the counties in the consortia is listed in Exhibit 2-2.

⁴ *Statewide Automated Welfare System Multiple County Consortium Strategy*. HWDC. November 1, 1995.

⁵ AFDC is now known as Temporary Assistance for Needy Families (TANF) since Congress enacted the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA).

⁶ *Statewide Automated Welfare System Multiple County Consortium Strategy*. HWDC. Page 2. November 1, 1995.

EXHIBIT 2-2

SAWS CONSORTIA MEMBERSHIP

Consortium	System Name	County Members
ISAWS	ISAWS	Alpine, Amador, Butte, Calaveras, Colusa, Del Norte, El Dorado, Glenn, Humboldt, Imperial, Inyo, Kern, Kings, Lake, Lassen, Madera, Marin, Mariposa, Mendocino, Modoc, Mono, Monterrey, Napa, Nevada, Plumas, San Benito, San Joaquin, Shasta, Sierra, Siskiyou, Sutter, Tehama, Trinity, Tuolumne, Yuba
LEADER	LEADER	Los Angeles
WCDS	CalWIN	Alameda, Contra Costa, Fresno, Orange, Placer, Sacramento, San Diego, San Francisco, San Luis Obispo, San Mateo, Santa Barbara, Santa Clara, Santa Cruz, Solano, Sonoma, Tulare, Ventura, Yolo
Consortium IV	C-IV	Merced, Riverside, San Bernardino, Stanislaus

For more complete descriptions of the planned and legacy systems in each SAWS consortium, please refer to:

- Chapter 3 for WCDS;
- Chapter 4 for Consortium IV;
- Chapter 5 for LEADER; and
- Chapter 6 for ISAWS.

3.0 WCDS/CALWIN CONSORTIUM

3.1 Background

Over the last 30 years, up to 19 counties have shared a common automated system known as the Welfare Case Data System (WCDS) for their social service programs. In 1995, when the state undertook a multiple consortium strategy to automate welfare, two of these counties, Marin and Nevada, left WCDS and joined the ISAWS consortium. The remaining 17 counties and Ventura County formed the WCDS consortium. The WCDS consortium members include Alameda, Contra Costa, Fresno, Orange, Placer, Sacramento, San Diego, San Francisco, San Luis Obispo, San Mateo, Santa Barbara, Santa Clara, Santa Cruz, Solano, Sonoma, Tulare, Ventura, and Yolo counties. The consortium is developing CalWIN system to replace WCDS.

Counties within the WCDS consortium will implement the CalWIN system, which will include various functions for multiple social service programs including the Foster Care and Adoption Assistance programs. In July 2000, the WCDS consortium completed design of the functional requirements for the CalWIN system. Exhibit 3-1¹ presents the next series of tasks and the associated schedule for the CalWIN project.

EXHIBIT 3-1

CALWIN PROJECT SCHEDULE OVERVIEW

Phase	Projected Starting Month	Projected Ending Month
General System Design	July 2000	October 2000
Detailed System Design	November 2000	March 2001
Code/Unit Test	April 2001	September 2001
System Test	October 2001	February 2002
User Acceptance Test	March 2002	August 2002
Pilot Test	September 2002	February 2003
Consortium-Wide Implementation	March 2003	May 2004

¹ Overview of CalWIN Project Schedule. Provided by SAWS project on August 2, 2000.

3.2 CalWIN System Description

While the CalWIN project has not begun detailed system design, a review of the *Validated Functional Requirements* (July 2000) and the *Implementation Advance Planning Document Update* (June 1999) documentation indicates that the system will contain the financial management functionality to support the Foster Care and Adoption Assistance programs in its constituent counties. This section describes the planned system's eligibility determination, benefit issuance, and claims processing capabilities.

Eligibility Determination

The intake process for the CalWIN system will be driven by information either already in the system (client history) or information obtained by the caseworker. Once the intake process is initiated, CalWIN users will navigate to the appropriate screens to collect client information such as client income, resources, and special placement needs. As information is collected by the system, CalWIN will automatically evaluate eligibility for the requested programs². According to the *Validated Functional Requirements*, the system will automatically determine eligibility for several aid programs including Foster Care and Adoption Assistance programs. The system will determine eligibility for the different types of foster care including federal foster care, state foster care, Title IV-A emergency assistance, and seriously emotionally disturbed placement.

The planned CalWIN system will interface with certain key information systems to allow the transfer of information and permit caseworkers to verify client information. For example, the caseworker will be able to access the MEDS database to verify the client social security number. In addition, the system intends to account for children's income by exchanging information with Social Security's Beneficiary Data Exchange (BENDEX)

² CalWIN Implementation Advance Planning Document Update (IAPDU). June 1999. Pages 103-104.

system and the planned statewide automated child support collections system. BENDEX will provide receipt information for SSI, while the child support system will furnish child support income data.³

Benefit Issuance

According to the *Validated Functional Requirements*, the CalWIN system will support all payments associated with the Foster Care and Adoption Assistance programs. CalWIN is required to accurately consider all case criteria, issue the appropriate payment, and track the payment. Further, CalWIN's Benefit Issuance process will reconcile daily and recurring benefit issuance. The process also supports benefit issuances resulting from a mass change or cost-of-living adjustment to county, state, and federal benefit payments. The Benefit Issuance process also supports vendor payments for secondary and special care, including tracking and reconciling vouchers and payments.

As planned, CalWIN will permit counties to produce warrants in a variety of ways. For example, some counties may produce warrants directly from CalWIN while others may have CalWIN send data to the Auditor/Controller for warrant issuance. The system will maintain a detailed benefit history for the benefits issued. Status details will include stop payment, negotiated, voided/refunded, stale-dated, returned or held, and canceled options. CalWIN will also contain the capability to interface with multiple financial institutions to track warrants cashed.

Finally, CalWIN will support the identification and resolution of underpayments and overpayments. When users input new or changed information, CalWIN will determine whether a potential underpayment or overpayment exists. Based on this information, the system will either issue a supplemental payment or will refer an

³ CalWIN IAPDU. June 1999. Pages 191-192.

overpayment to the appropriate party to initiate a collections process. CalWIN will interface with the collection systems used by each county (e.g. the Ventura Automated Collections System) to track the repayments received. This information will be used to update claim balances.⁴

Claims Processing

According to the *Validated Functional Requirements*, CalWIN will contain functionality to reconcile each county's Auditor/Controller files for redeemed, cancelled, and transacted warrants against benefit authorization information on CalWIN. CalWIN must provide for a batch interface with a financial entity to reconcile, print and distribute required federal and state cash issuance reports, which will be certified and forwarded to the state or federal government on the appropriate periodic basis. The requirements also provide for CalWIN to produce a report of foster care vendor payments and a consolidated report of foster care payments for claiming purposes.

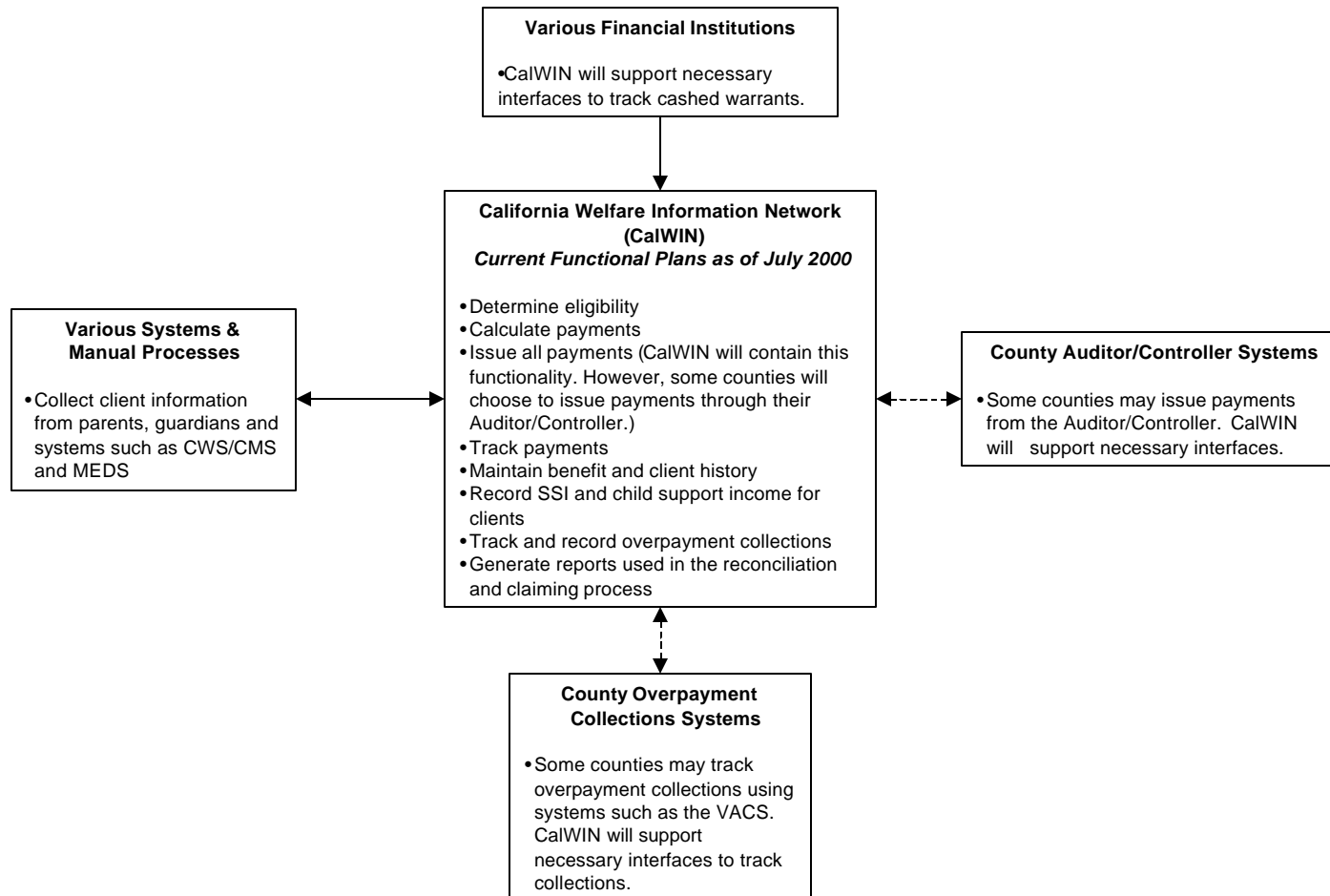
System Interfaces

Exhibit 3-2 shows how the CalWIN system is planned to function in the counties.

⁴ CalWIN IAPDU. June 1999. Pages 119-121.

EXHIBIT 3-2

CALWIN SYSTEM DIAGRAM



3.3 Current County Legacy System Descriptions

Based on the response of 16 WCDS counties to the survey (Appendix A), WCDS counties use similar configurations to support their financial management processes. The following describes common manual processes that generate data for WCDS, common automated processes using WCDS, and three different configurations used to produce payments to vendors.

Common Manual Processes Create, Retrieve, and Update Information into WCDS

County eligibility and social workers collect a great deal of information about clients as part of the Foster Care and Adoption Assistance programs service delivery process. Much of this information ultimately is input into WCDS to support program and financial management. The primary manual processes common in all CalWIN counties include the following:

- *Collect client data from parents and guardians* -- During the intake process, social workers collect background data about the client. This information includes name, date of birth, ethnicity and other demographic information.
- *Determine eligibility* -- Based on data collected by social workers, eligibility workers determine from which social services programs children may receive aid. This information is input into WCDS as grant amounts and "aid codes," which delineate the specific social services programs that can support expenses incurred during the care of a child.
- *Request payments for primary, secondary, AAP, and special services* -- When services such as lodging, counseling, or transportation are provided, vendors submit invoices to county social services organizations. The information contained on the invoice is recorded on the appropriate county system (i.e. WCDS or the county financial management system) to generate payments.
- *Identify overpayments and underpayments and take appropriate actions* -- Occasionally counties pay an incorrect amount to vendors. In those cases, county staff identify whether the incorrect amount involved an over or underpayment. If an overpayment has occurred, county staff initiate a collections process from the vendor. If an underpayment has occurred, staff request a supplemental check for the vendor.
- *Reconcile case expenditure history with state aid claims* -- At month's end, counties submit aid claims to the state using the CA 800 FC form. To produce this report, counties engage in a manual process to reconcile expenses incurred

on behalf of their client population. The reconciliation process compares expenditures against a variety of factors including income received by children and overpayments successfully collected.

Counties Use WCDS for Common Automated Functions

All CalWIN counties utilize WCDS for Foster Care and Adoption Assistance program support except for Ventura County, which is not a WCDS legacy county and uses the Welfare Information Computation and Reporting System (WICAR). While counties employ WCDS in unique ways to support their business processes, survey results show that counties use WCDS in similar ways to support a number of automated functions:

- *Record case data* -- Case data is generally provided by parents and guardians. Additional information sources include systems such as CWS/CMS, MEDS, and the Income and Eligibility Verification System (IEVS) for client demographic and case histories.
- *Record placement, rate, and eligibility information* -- Once a child is placed in a suitable foster home, eligibility is determined based on the child's demographic and income information. Workers input this information into WCDS, which in some cases uses the data to calculate pro-rated benefits.
- *Maintain case budget history* -- Expenditures related to providing care and other services to a client are maintained on WCDS. In addition, many counties use WCDS to record client income from sources such as SSI/SSA and child support. WCDS deducts the income from expenditures to produce a net expenditure amount that counties use for reimbursement claims from the state.
- *Print foster care payroll for reconciliation and claiming purposes* -- As a repository of budget history for Foster Care and Adoption Assistance cases, counties use WCDS to generate data used to support aid reimbursement claims to the state.

Different Methods to Issue Benefits

Based on our survey, it appears that three methodologies currently exist to generate Foster Care and Adoption Assistance benefit payments in the WCDS counties:

- WCDS only;
- County financial system only; or
- Combination of income maintenance legacy system and county financial system.

A brief explanation of each method follows.

WCDS Only

Several counties use WCDS to issue payments. These counties include:

- Contra Costa;
- San Luis Obispo;
- San Diego;
- San Mateo;
- Santa Clara;
- Santa Cruz;
- Solano; and
- Yolo.

This process includes recording all payment information on WCDS. When all payment information is input into WCDS, the system prints warrants or checks, which are then sent to recipients. After WCDS issues the checks, it creates a payment file and automatically sends that file to the county's financial management system. The financial management system then records payment data to facilitate monitoring of checks redeemed.

County Financial System Only

Other counties generate payments from their financial management systems.

These counties include:

- San Francisco;
- Santa Barbara; and
- Tulare.

In these cases, all payment information is recorded on WCDS. WCDS then creates a payment file, which it automatically sends to the county's financial management system. When the financial management system receives the file, it prints the warrants or checks for disbursement. Similar to counties that issue benefits from WCDS only, the financial management system records payment data for check monitoring purposes.

Combination of Legacy Income Maintenance System and Financial System

The third primary means to issue benefits is through a combination of the legacy income maintenance system (WCDS or WICAR) and the county financial system. The counties that issue benefits in this manner include:

- Alameda;
- Orange;
- Placer;
- Sacramento;
- Sonoma; and
- Ventura.

In these cases, counties issue certain types of payments from WCDS and other types of payments from the financial system. For example, Orange County uses WCDS to issue payments for primary care, Adoption Assistance, special services, and underpayment reimbursements. Orange County's Auditor/Controller system produces secondary care payments. Sacramento County uses WCDS to issue all payment types except for special services, which its financial system generates. Placer County issues 90 percent of its payments from WCDS through a support system; the remaining payments are issued through its Auditor/Controller system. In counties that issue different payment types from different systems, all payments are eventually recorded on the county financial management system for tracking purposes.

For a more detailed explanation of the processes, systems, and interfaces supporting the financial management of each CalWIN county's Foster Care and Adoption Assistance programs, please refer to Appendix C.

3.4 Potential Gaps in Functionality and Recommendations

Planned functionality for the CalWIN system includes the necessary components to support financial management processes related to Foster Care and Adoption Assistance programs. However, given that the CalWIN development process is

ongoing, the CWS program should periodically monitor planned versus actual functionality. Natural opportunities to conduct monitoring activities included the project phase completion milestones as noted in Exhibit 3-1.

4.0 CONSORTIUM IV

4.1 Background

In 1995 when California undertook a multiple consortium strategy to welfare program automation, four counties — Merced, San Bernardino, Riverside, and Stanislaus — formed a consortium known as Consortium IV (C-IV). The C-IV counties then participated in an extensive business process reengineering (BPR) project that resulted in a uniform business model that each of the four counties has committed to follow. The counties plan to automate this business model.

The reengineered model focuses on common business processes for all aid programs rather than individual programs. Therefore, under the new business model, the functionality for assisting Foster Care and Adoption Assistance clients will essentially be the same functionality that is used for assisting Temporary Assistance for Needy Families (TANF) clients. For example, the C-IV system will contain functionality for eligibility determination¹. The steps or processes the system undertakes for determining eligibility will essentially be the same for all public assistance programs that are served by the system. While the system will include specific program rules to determine eligibility for individual programs, the processes used to determine eligibility will essentially be the same across all aid programs.

The C-IV model groups these common business processes into five main business areas: Gateway; Planning; Benefit and Service Delivery; Collaboration; and Accountability, Improvement, and Measurement. The core processes—those parts of the business model that relate directly to providing client benefits—are the Gateway, Planning, and Benefit and Service Delivery areas.

¹IAPDU. March 3, 2000. Pages 4-7, 4-58 to 4-63.

The general requirements for the C-IV system and a detailed description of the business model are shown in the May 1, 1998, *Business Process Reengineering* document; the March 3, 2000, *Implementation Advance Planning Document*, and the December 15, 1998, *Solicitation of Proposals*.

According to the Consortium Manager, the C-IV system functionality for Foster Care and Adoption Assistance programs will be further incorporated and more detail provided when the consortium undergoes detailed requirements planning for the C-IV system. Currently, the consortium has selected its system vendor and the project approval documents will be submitted to State and Federal oversight agencies in the near future. The consortium hopes to begin system development in early 2001. A description of the C-IV business model, as it currently exists, follows.

4.2 C-IV System Description

As mentioned previously, the C-IV business model contains three core business areas that relate directly to providing client services. The Gateway, Planning, and Benefit and Service Delivery business areas are described in more detail below.

Gateway. This area provides clients with an entry into the welfare agency or department and sets up a path to the benefits and services. This is the business area where eligibility will be determined for Foster Care and Adoption Assistance programs, and where the system will account for a child's income and assets.

This area contains 16 business processes covering the client and caseworker initial contact, collecting client information, determining eligibility, and computing benefits. Refer to boxes 1, 4, 14, and 15 on the following Gateway Business Area process map.

C-IV GATEWAY BUSINESS AREA²

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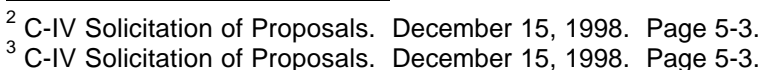
graph TD
    1[1. Manage Point of Contact] --> 2[2. Receive/Distribute Materials]
    2 --> 3[3. Determine Reason for Contact]
    2 --> 4[4. Access & Assess Historical Data]
    2 --> 5[5. Perform Background Clearance]
    2 --> 6[6. Evaluate Individual's Situation]
    2 --> 7[7. Prioritize and Select Next Client/Family]
    3 --> 4
    4 --> 5
    5 --> 6
    6 --> 7
    7 --> 8[8. Redirect Outside of Agency]
    7 --> 9[9. Establish or Update Case]
    7 --> 10[10. Conduct Intensive Orientation]
    8 --> 9
    9 --> 10
    9 --> 11[11. Inform Client of Options, Consequences, Rights, and Responsibilities]
    10 --> 11
    11 --> 12[12. Select from Available Options]
    11 --> 13[13. Refer for Collaboration or Mentoring]
    12 --> 13
    12 --> 14[14. Determine Eligibility]
    13 --> 14
    14 --> 15[15. Compute/Recompute Benefit and/or Service]
    15 --> 16[16. Monitor Compliance and Outcomes]
    16 --> 17[17. Take Appropriate Action]
    17 --> 16
    17 --> 9
    17 --> 10
    17 --> 11
    17 --> 12
    17 --> 13
    17 --> 14
    17 --> 15
    17 --> 16
    17 --> 17
  
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Gateway Business Area

IS A PERSONAL RESPONSIBILITY PLAN APPROPRIATE FOR THIS CLIENT/FAMILY?

EXHIBIT 4-2

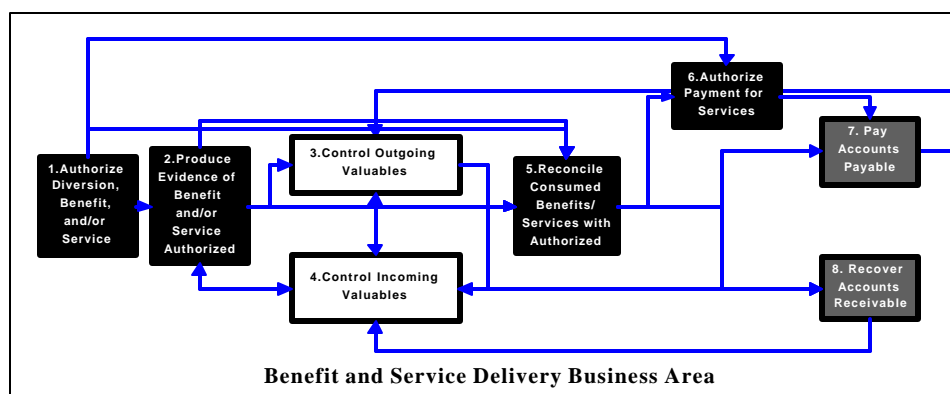
C-IV PLANNING BUSINESS AREA³



Benefit and Service Delivery. During this process, C-IV users will deliver benefits and services using information obtained and decisions made in the Gateway and Planning business areas. Payments to providers will be authorized during this process (box 7 on the Benefit and Service Delivery Business Area process map), and C-IV will interface with each county's Auditor/Controller office to provide payment information so payments can be made. This is also where program funding is reconciled to case plans (box 5). In addition, this business area will contain the functionality to periodically reconcile payments made to payments authorized (box 5) and will provide the information the counties need to reconcile or claim Title IV-E and Title IV-B funding back to the state. Finally, income for children such as SSI, death benefits, or child support will be accounted for in the recover accounts receivable function (box 8).

EXHIBIT 4-3

C-IV BENEFIT AND SERVICE DELIVERY BUSINESS AREA⁴



⁴ C-IV Solicitation of Proposals. December 15, 1998. Page 5-4.

The process maps shown in Exhibits 4-1, 4-2, and 4-3 contain different shaded boxes. According to the IAPDU, the shading indicates the level of priority for automation support of the process described within the box as follows:

- The darkest shading indicates those processes that are critical to accomplishing the business imperatives of the Counties and the business needs of the end users operating within the new business model.
- The lighter shading highlights those processes that are of high priority to the success of business operations and that could benefit from technical support. However, many of the business functions in these processes are heavily dependent upon human intervention and interaction. These processes may require a different level and type of automated support to enhance the operational success of the Counties.
- The unshaded processes are those that are considered to be lower priority for automated support within the new Business Model. These processes can be performed effectively without intensive automated support. This is not to say that automation may not be proposed or offered to support these processes.

4.3 Current System Descriptions

This section describes the legacy environments related to Foster Care and Adoption Assistance financial management in the four C-IV consortium counties. Each county uses unique systems because they do not currently share a common business process. A description of the county agencies and systems is included for each county, as well as a system diagram that shows system functions and interfaces.

4.3.1 San Bernardino County

In San Bernardino County, three primary agencies support the financial management of the Foster Care and Adoption Assistance programs. The Human Services System (HSS) delivers services and makes aid payments for the Foster Care and Adoption Assistance Programs. HSS interfaces with the County Auditor/Controller to share financial information about the amount of aid payments made for different public assistance programs for reporting purposes. However, HSS serves as the primary payment issuance agency in San Bernardino County. In addition to HSS and the

Auditor/Controller, the San Bernardino County Treasurer's Office is involved in financial management processes. The Treasurer's Office processes warrant details and tracks redemption of warrants.

4.3.1.1 San Bernardino County Current System Descriptions

The HHS, Auditor/Controller, and Treasurer's Office use several information technology systems to manage the financial aspects of San Bernardino County's Foster Care and Adoption Assistance programs. These systems include the:

- Welfare Database;
- Financial Accounting System;
- Treasurer's Database;
- Stop Payment System;
- Counter Warrant System; and
- AS400-RPAS.

The following provides a more complete description of each system.

Welfare Database (WDB)

The WDB is the primary system used to support the Foster Care and Adoption Assistance Programs in San Bernardino County. Owned and operated by HSS, WDB maintains case data; calculates eligibility; issues warrants to Foster Care and Adoption Assistance programs and secondary services (e.g. counseling) providers; processes aid claims; and reconciles Title IV-E and Title IV-B benefits issued with those authorized and paid. In addition, WDB receives data on welfare collections (i.e. SSI and SSA payments to children) from information input manually. WDB also receives data on child support collections from Support Through Automated Resources/Keeping Integrated Data on System (STAR/KIDS).

Financial Accounting System (FAS)

Owned and operated by the Auditor/Controller, FAS is a mainframe system used by all county agencies. FAS is also used to reconcile benefits issued with those authorized and paid.

Treasurer's Database (TZ)

Owned by the Treasurer-Tax Collector, this database is used to process warrant details such as warrant number and amount. TZ tracks when checks are redeemed and shares this data with FAS. HSS provides stop payment information to TZ to update the county system.

Stop Payment System (SPS)

The SPS initiates stop payments on warrants. SPS is a stand-alone system. BAMTRAC, owned and operated by Bank of America, is a separate system to place a stop payment on a warrant through Bank of America. SPS is owned and operated by the HSS.

Counter Warrant System

The Counter Warrant System produces immediate need and replacement warrants if needed and shares this data with WDB. The Counter Warrant System is owned and operated by the County's Human Services System.

AS400-RPAS

AS400-RPAS, created by Logical Design, Inc., is scheduled to go on-line on September 1, 2000. The system tracks SSI/SSA income for children. SSI/SSA payments to children are used by the county to offset expenses related to foster care

services. San Bernardino County uses RPAS to manage the SSI/SSA offset process. RPAS is licensed to and operated by the HSS.

Systems Scheduled for Replacement

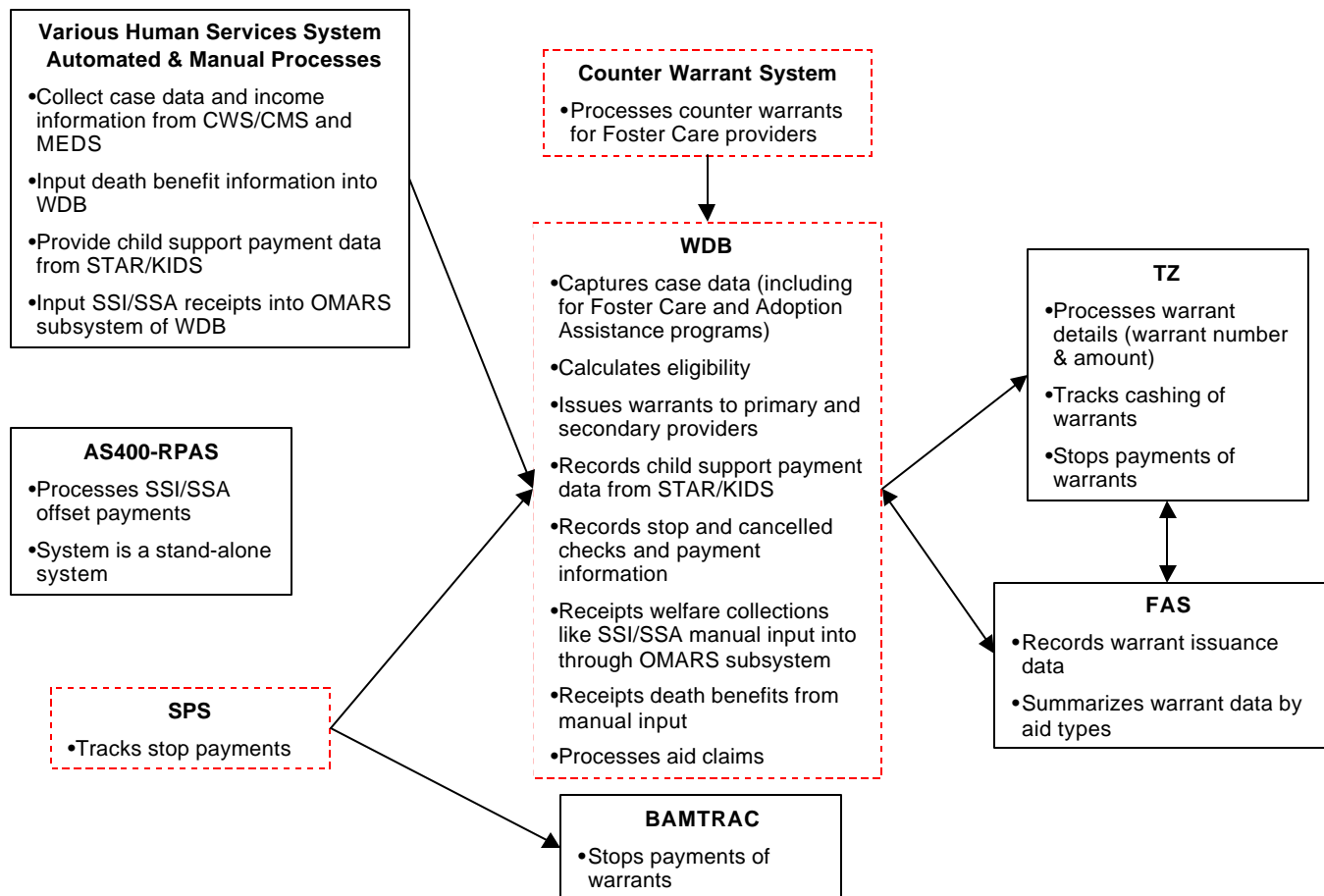
C-IV is currently scheduled to replace the WDB, SPS, and the Counter Warrant System.

System Interfaces

Exhibit 4-4 shows how the above systems interface and some of the specific functions contained within each system.

EXHIBIT 4-4

SAN BERNARDINO COUNTY SYSTEM FLOW DIAGRAM



Dashed borders indicate a system that C-IV plans to replace.

4.3.2 Merced County

Two primary departments are involved in the service delivery and financial management aspects of Foster Care and Adoption Assistance programs in Merced County. The Human Services Agency (HSA) provides employment services, emergency financial assistance, and social services to residents of Merced County. The Auditor/Controller, which processes various types of financial information for county departments and special districts and maintains the general ledger, provides data related to redemption of primary care warrants and produces warrants for secondary services and special payments.

4.3.2.1 Merced County Current System Descriptions

HSA and the Auditor/Controller use three information technology systems to support the financial management of Merced County's Foster Care and Adoption Assistance programs. These systems include the:

- Merced Automated Global Information Control System;
- Voucher Invoice and Payment System; and the
- Financial Information and Resource Management System.

The following provides a more complete description of each system.

Merced Automated Global Information Control System (MAGIC)

Owned by HSA, MAGIC provides a combination of Expert System and Mainframe functionality, which determines eligibility and benefits for clients. MAGIC produces warrants for primary care providers. For Adoption Assistance providers, MAGIC passes payment information to the county's Financial Information and Resource Management System (FIRMS) where warrants and checks are generated. Other

functions of MAGIC include generating the Foster Care payroll for the claims and reconciliation process.

The MAGIC system is maintained by Merced County in conjunction with Andersen Consulting. Merced County intends to replace MAGIC with the C-IV system.

Voucher Invoice and Payment System (VIPS)

VIPS is owned and operated by the Auditor/Controller. Its primary function is to process secondary and special payments. After a social worker prepares a request for a secondary or special payment, HSA staff verify the request and enter the data into VIPS. VIPS then sends the data to FIRMS to issue the warrant.

Financial Information and Resource Management System (FIRMS)

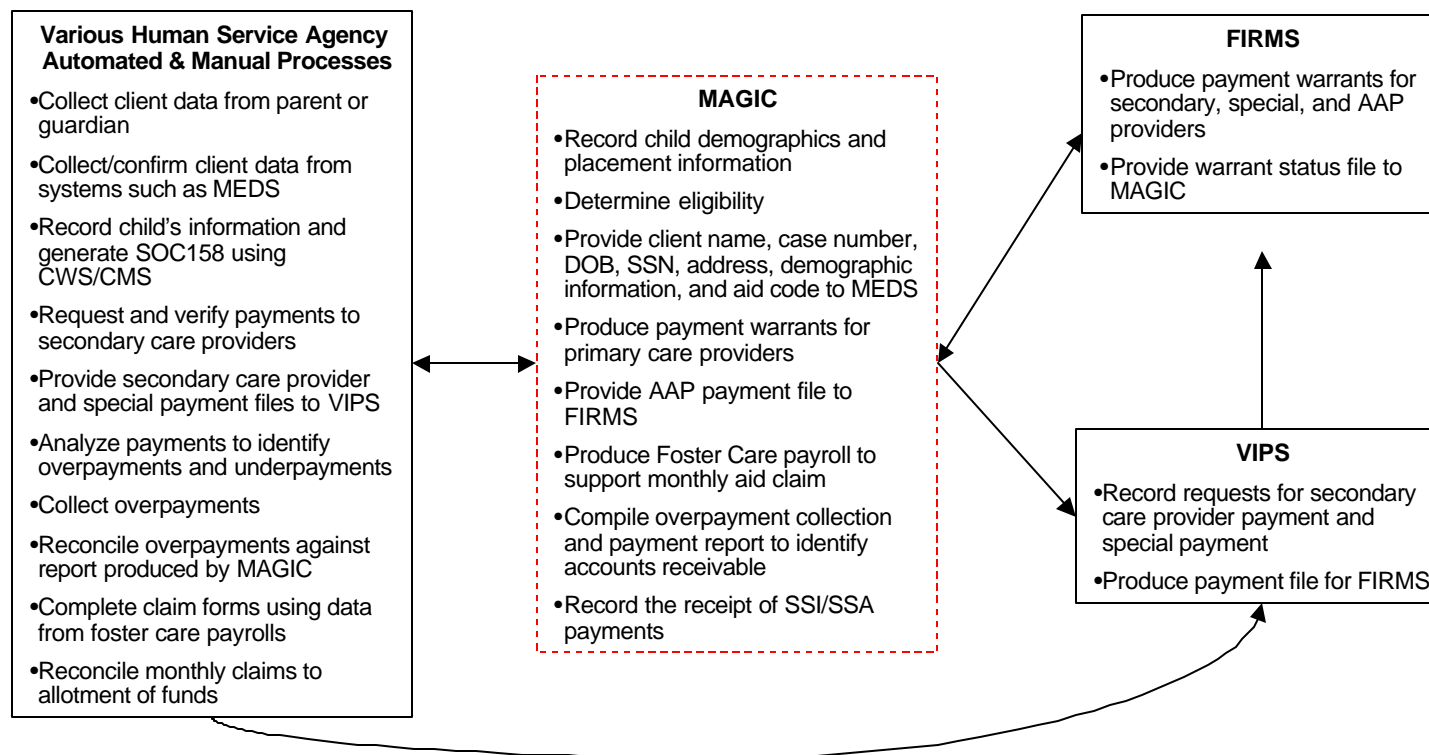
FIRMS produces warrants for secondary providers and special payments. Owned by the Auditor/Controller, FIRMS also captures data about the status of warrants, (i.e. whether a warrant has been cashed or is still outstanding). FIRMS compiles that data into a status file that it shares with MAGIC.

System Interfaces

Exhibit 4-5 shows how the above systems interface and some of the specific functions contained within each system.

EXHIBIT 4-5

MERCED COUNTY SYSTEM FLOW DIAGRAM



Dashed borders indicate a system that C-IV plans to replace.

4.3.3 Riverside County

Two departments are involved in the processes that support the financial management of Riverside County's Foster Care and Adoption Assistance programs. The Riverside County Department of Public Social Services (DPSS) manages the Foster Care and Adoption Assistance programs and the Auditor/Controller processes program payment vouchers and issues payments for secondary care services.

The DPSS uses a combination of manual processes and various automated systems to perform Title IV-B and Title IV-E financial management functions. DPSS manually collects case information, determines program eligibility, calculates payments, discovers provider underpayments and overpayments, and prepares and submits Title IV funding claims.

Riverside County has implemented automated processes for recording case information, maintaining the case budget history, tracking the receipt and disbursement of child's income, tracking overpayment collections, issuing provider payments, and generating monthly payment reports. In total, Riverside County utilizes nine legacy systems. The county plans to replace several of the legacy systems with the C-IV system.

4.3.3.1 Riverside County Current System Descriptions

Riverside County uses a number of information technology systems to manage the financial aspects of its Foster Care and Adoption Assistance programs. These systems include the following:

- Machine Budget System;
- Riverside Integrated Financial Management Information System;
- Warrant Validation System;
- Accounts Receivable Collections System;
- Revenue Tracking System;
- Walk Through System;
- CPS Child Care System; and

- Focus Voucher Entry.

A description of each Riverside County legacy system and its uses is below.

Machine Budget System (MBS)

MBS is a mainframe system, “owned and operated” by DPSS. This system provides computerized maintenance of recipient records, performs certain benefit calculations, produces warrants, and prepares benefit issuance reports for Title IV-E expenditure claims. Also MBS interfaces with the Warrant Validation System (WVS) to record specific warrant information and with the Accounts Receivable Collection System (ARCS) to record overpayments. The DPSS plans to replace the MBS with the C-IV system.

Riverside Integrated Financial Management Information System (RIFMIS)

RIFMIS is a mainframe system owned by the Auditor/Controller and used by all county agencies. RIFMIS is utilized by DPSS in the management of the Foster Care and Adoption Assistance program accounts. The system is used to issue secondary provider payments. Also, RIFMIS expenditure reports are used by DPSS Fiscal Unit in preparing Title IV-B secondary care payment claims that are subsequently entered into the county’s Revenue Tracking System (RTS).

Warrant Validation System (WVS)

WVS is a mainframe system used by all county agencies to authenticate warrants. A WVS data file provides payee name, warrant number, warrant amount, issued date, client case number, and paid date (or cancel date for stale-dated warrants) to MBS. WVS provides the Auditor/Controller with data needed to post paid warrant amounts to, and decrease cash in, the RIFMIS Welfare Warrant Clearing Fund.

Accounts Receivable Collections System (ARCS)

ARCS is a PC system “owned and operated” by DPSS. This system provides computerized tracking of overpayment cash collections. This system is also used to track monies received by the department on behalf of Foster Care children. The DPSS fiscal unit uses ARCS to record abatements to the Foster Care maintenance payments in MBS for those children receiving outside benefits. These funds are then credited to Foster Care expenditures in RIFMIS. ARCS communicates via the Focus Voucher Entry system to RIFMIS to record payment information for those Foster Care children receiving sufficient outside benefits to cover their care and maintenance expenses. DPSS plans to replace ARCS with the C-IV system.

Revenue Tracking System (RTS)

The Revenue Tracking System (RTS) is a personal computer system owned and operated by DPSS. This system provides computerized tracking of expenditure claims and the related intergovernmental reimbursements. RTS provides the data used by DPSS in posting the department's earned intergovernmental revenues to RIFMIS.

Walk Through System (WTS)

Walk Through System (WTS) is a personal computer system, also owned and operated by DPSS. This system provides expedited issuance of welfare benefits. WTS sends a data file with payment records including case name, case number, payee type, payee name, amount, and pay category to MBS. The system interfaces with WVS to provide payee name, warrant number, warrant amount, issue date, and client case number for all expedited payments issued. DPSS plans to replace WTS with the C-IV system.

CPS Child Care System (CPS)

The CPS Child Care System (CPS) is a personal computer system. Owned and operated by DPSS, CPS provides computerized maintenance of CPS child care records, computation of certain secondary provider payments, and a variety of fiscal and statistical reports. The system provides payment information to RIFMIS for secondary provider payments to those providing child care services to CPS cases. This information is provided to RIFMIS via the Focus Voucher Entry system. DPSS plans to replace CPS with the C-IV system.

Focus Voucher Entry (FVE)

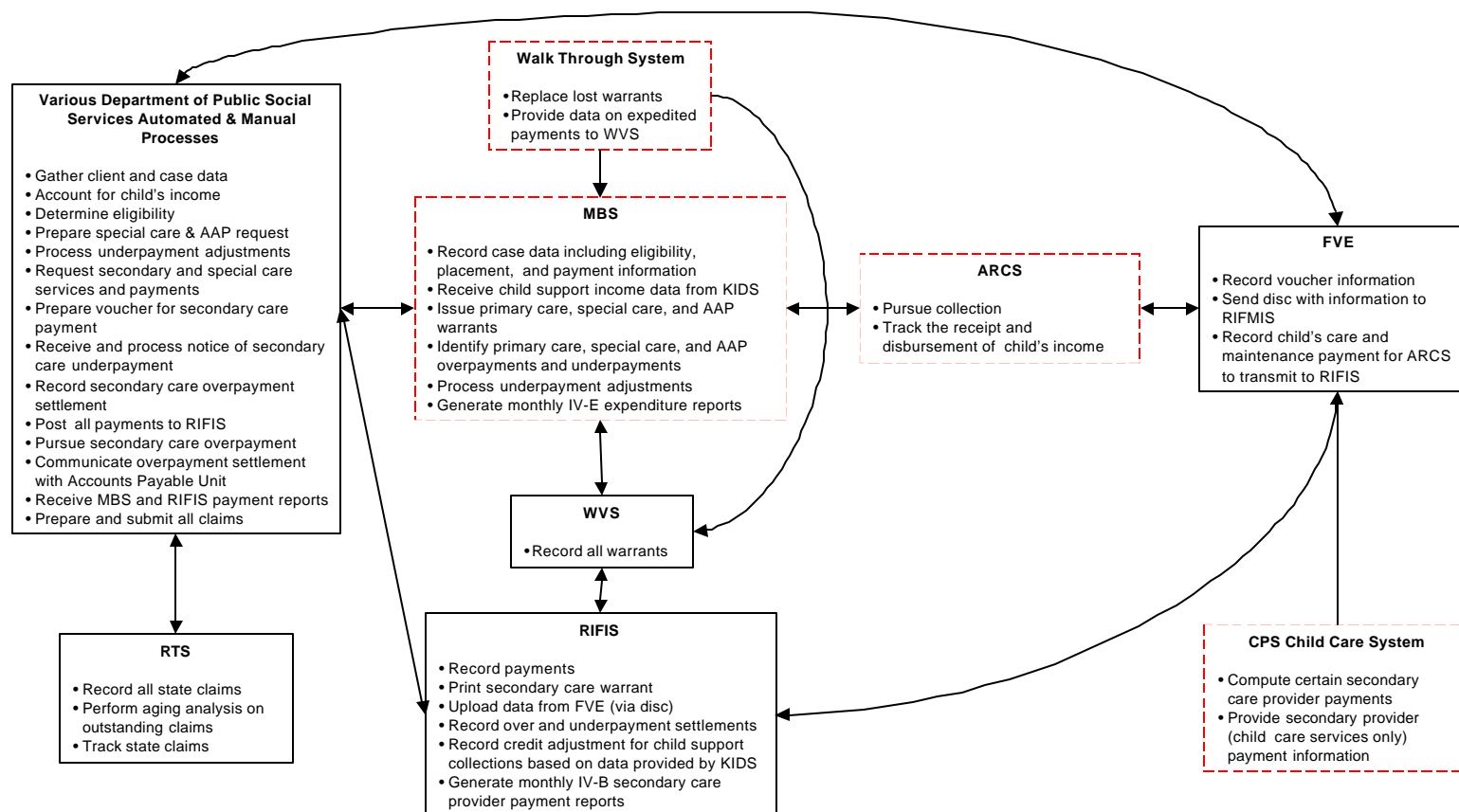
The Focus Voucher Entry system (FVE) is a multi-user personal computer system used by DPSS. The system sends secondary provider payment data to RIFMIS.

System Interfaces

Exhibit 4-6 shows how the above systems interface and some of the specific functions contained within each system.

EXHIBIT 4-6

RIVERSIDE COUNTY SYSTEM FLOW DIAGRAM



Dashed border indicates a system that C-IV plans to replace.

4.3.4 Stanislaus County

Two primary departments manage the processes that support the financial management of the Foster Care and Adoption Assistance programs in Stanislaus County. The Community Services Agency (CSA) provides employment services, emergency financial assistance, and social services to residents of Stanislaus County. CSA determines eligibility, records SSI and child support income data, manages cases, calculates and issues benefits, and collects overpayments related to Foster Care and Adoptions Assistance services. CSA also prepares, reconciles, and submits aid claims to the state.

The County Auditor/Controller, which manages various financial functions for county departments and special districts, records aid expenditures to the county's general ledger and provides data related to redemption of warrants to CSA.

4.3.4.1 Stanislaus County Current System Descriptions

CSA and the Auditor/Controller use several information technology systems to support the financial management of Stanislaus County's Foster Care and Adoption Assistance programs. These systems are the:

- Master/Dependent Legacy System;
- Custom dBASE applications; and
- The Oracle Financial Management System.

The following provides a more complete description of each system.

Master/Dependent Legacy System (M/DLS)

The M/DLS is a customized legacy system used by CSA. The system generates all cash/food stamp benefits for Stanislaus County, provides data to the MEDS system, maintains a centralized index of all public assistance and services cases, produces a series of reports to complete fiscal claims, and provides data for planning purposes. M/DLS also exchanges child support income data such as case number, case and payee name, and grant amount with the District Attorney's Best Enforcement Support Technology (BEST) system. The system records overpayment collections data as well.

M/DLS receives immediate need benefit payment information from the Custom dBASE Application. As the system that issues all types of Foster Care and Adoption Assistance aid, M/DLS updates the Auditor/Controller's Oracle Financial Management System with payee and payment information.

Stanislaus County intends to replace M/DLS with the C-IV system.

Custom dBASE Application (dBASE)

DBASE generates immediate need benefit payments for all aid programs on a daily basis. Once checks are issued, data is first uploaded to the M/DLS, which then updates the Oracle Financial Management System. DBASE is owned and operated by CSA.

Oracle Financial Management System (Oracle)

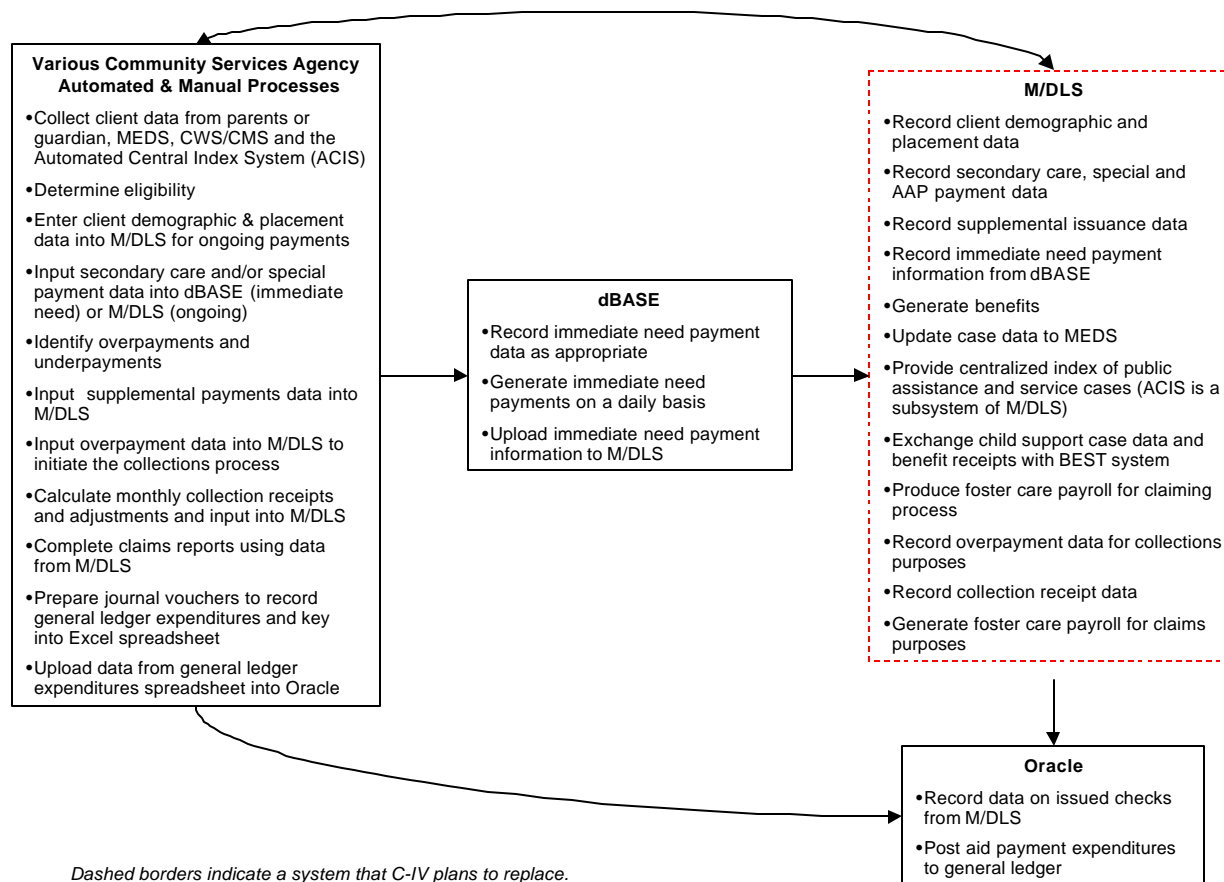
The Oracle is used by all Stanislaus County agencies. M/DLS uploads data to the Oracle system for use by the Auditor/Controller and Treasurer's Office for cash management purposes. Data is also entered into the general ledger, a component of Oracle. Oracle is owned and operated by the Auditor/Controller.

System Interfaces

Exhibit 4-7 shows how the above systems interface and some of the specific functions contained within each system.

EXHIBIT 4-7

STANISLAUS COUNTY SYSTEM FLOW DIAGRAM



4.4 Potential Gaps in Functionality and Recommendations

Planned functionality for the proposed C-IV system does not indicate significant inadequacies related to the support of Foster Care and Adoption Assistance financial management. However, it is early in the C-IV system development process and we believe the CWS program should continue to monitor the development of the C-IV system as planning and development progresses.

If the proposed C-IV system receives State and Federal approval, it is anticipated that the consortium could begin development in early 2001. Once development efforts are underway, C-IV intends to be completed within 42 months. When system development begins, there will be several key system implementation checkpoints. The CWS program should, at these times, evaluate the progress of the C-IV system and determine if needed Foster Care and Adoption Assistance program functionality remains in the system design.

5.0 LOS ANGELES COUNTY

5.1 Background

This section provides an overview of the County of Los Angeles' child welfare services organization, including the Foster Care program, the Adoption Assistance Program, and the claims process.

The Department of Children and Family Services (DCFS) is responsible for Foster Care and Adoption Assistance programs in Los Angeles County.¹ The DCFS co-locates eligibility workers and social workers. The workers interact and both enter case information into CWS/CMS and other automated systems. There are 300 eligibility workers in regional offices--these workers make eligibility determinations and provide intake support to line staff. There are another 200 eligibility workers in the central Covina office. These workers perform specialized functions, perform research, and make eligibility redeterminations. While most central office workers specialize in foster care, one unit deals with the Kin-Guardian Assistance Program (Kin-GAP), Probation Program, and the Foster Care and Adoption Assistance programs.

Foster Care

When a child abuse hot line social worker receives a referral, the social worker records information about the child on the CWS/CMS system and assigns the case to a Los Angeles County regional DCFS office. The regional office social worker then assesses the child's risk and determines the need for out-of-home placement. The regional office social worker forwards the request for placement to an eligibility supervisor, who assigns an eligibility worker. The eligibility worker searches for a

¹ The Department of Public Social Services, a separate department, manages the welfare-to-work (Title IV-A) programs in Los Angeles County.

placement facility vacancy and delivers the list of potential placement options to the social worker. The social worker contacts potential placement providers to determine whether the child's needs criteria meets the foster home's characteristics, then forwards the selected placement information to an eligibility worker to develop a placement packet. The social worker takes the placement packet along with the child to the placement provider. Within 24 hours, an eligibility worker contacts the placement provider to confirm that the placement occurred, records the placement and provider information into CWS/CMS, and issues the incidental payment as indicated by the social worker. After an eligibility supervisor approves the payment, the eligibility worker determines foster care eligibility and the funding source within 30 days and inputs the appropriate aid code into CWS/CMS. An eligibility supervisor approves the eligibility determination. The DCFS staff coordinate with the Los Angeles Auditor/Controller for warrant issuance.

Claims Processing

The state advances funding to support Title IV-B and Title IV-E programs to DCFS on a monthly basis. The DCFS then submits claims in arrears. Los Angeles County's Auditor/Controller tracks reimbursements from the state. The amount advanced is based on an average of the amounts advanced during the previous 12 months. For example, the state would provide financial support for August 2000 activities based on the average foster care payrolls from July 1999 to July 2000. On the 20th of each month, the county submits the *Summary Report of Assistance Expenditures - Federal Children in Foster Care* (CA 800 FC). The CA 800 FC enables the county to reconcile expenditures on Title IV-B and Title IV-E programs against receipts from the prior month. The CA 800 FC contains information such as the main foster care payroll, the current month's supplemental payroll, and the prior month's supplemental payroll.

Adjustments to claims are made based on child support and social security receipts, aid code corrections, and receipts when overpayments are collected. The County uses information provided by the Foster Care Payment System (FCPS) and the Adoptions Assistance Payroll System (AAPS) to support this process.

5.2 Current System Descriptions

This section describes the current environment related to Foster Care and Adoption Assistance programs financial management in Los Angeles County. Los Angeles currently uses several systems to support its financial management processes:

- CWS/CMS;
- Automated Provider Payment System (APPS);
- FCPS;
- Warrant Issuance System (WIS); and
- AAPS.

Child Welfare Services Case Management System (CWS/CMS)

Los Angeles County social workers use CWS/CMS to record information about children and the services received by children in the child welfare system. Social and eligibility workers enter case information into CWS/CMS, including the type of foster placement (e.g. relative, guardian, foster family agency, etc.) and level-of-care schedule level for children. CWS/CMS contains a drop-down table for selecting the different foster care level-of-care schedules. Los Angeles County is the only county with a schedule table included in CWS/CMS. CWS/CMS provides case, placement/provider and level-of-care information needed for payment transactions to APPS. Los Angeles County is the only county with an automated interface that drives foster care payment information and authorization between CWS/CMS and its foster care financial system.

Automated Provider Payment System (APPS)

When APPS² receives the child placement, schedule, and provider information file from CWS/CMS, it calculates the placement amount and checks whether the child already is receiving foster care services to avoid duplicate payments. Once the placement amount and case status are verified, APPS maintains case budget information and child placement/provider history. APPS contains critical information on a child such as when the child was in a placement, the payment amount, and when the rate was adjusted.

APPS also maintains information used to calculate rates. APPS contains a table with ceilings on payment amounts by level-of-care schedule type. In addition, if a child was placed in a home after the beginning of a month, APPS automatically prorates the payment.

Besides rate calculation, APPS manages the payment process for DCFS. When the provider verifies the child placement dates contained within the next month's voucher and returns it, DCFS workers scan the data into APPS and the system uses that data to trigger authorized foster care payments for the next month. APPS also tracks special payments (e.g. counseling and child care) and one-time payments. To process provider payments, APPS creates a payment file and sends that file to FCPS.

APPS also calculates overpayments. If an overpayment is found, the overpayment is pursued separately from the monthly provider payment. To initiate a claims process, APPS interfaces with the DCFS Revenue Enhancement Division's

² DCFS implemented APPS in 1990 to perform foster care financial management and payments functions in a Tandem mini-computer environment. In 1999, the APPS system programs were transferred to run on the Unisys mainframe and redeveloped in a Visual Basic client/server environment. The county currently has 250 APPS users with another 200-250 waiting to be added. Los Angeles County intends to use APPS for the foreseeable future and has plans to build enhancements into the system to accommodate the integration of all authorization/payment standalone systems such as

overpayment system. When the overpayment is resolved with a provider, the overpayment system notifies APPS.

Foster Care Payment System (FCPS)

Another DCFS owned system, the FCPS produces claims, records warrant amounts, and sends warrant amount information to the Los Angeles County Auditor/Controller's WIS system to cut warrants with attached vouchers for the next month's foster care verification and payment process. FCPS also generates the monthly foster care payroll information that the county uses to make reimbursement claims to the state.

Warrant Issuance System (WIS)

Based on the information from FCPS, WIS writes warrants and produces a payroll listing.

Adoptions Assistance Payroll System (AAPS)

The AAPS is used to generate and record payments for the AAP. All data is keyed into the system. This system provides a payment file to WIS and is a standalone system that DCFS hopes to eventually incorporate into APPS. In addition, AAPS generates the payroll data the county uses to claim reimbursements from the state.

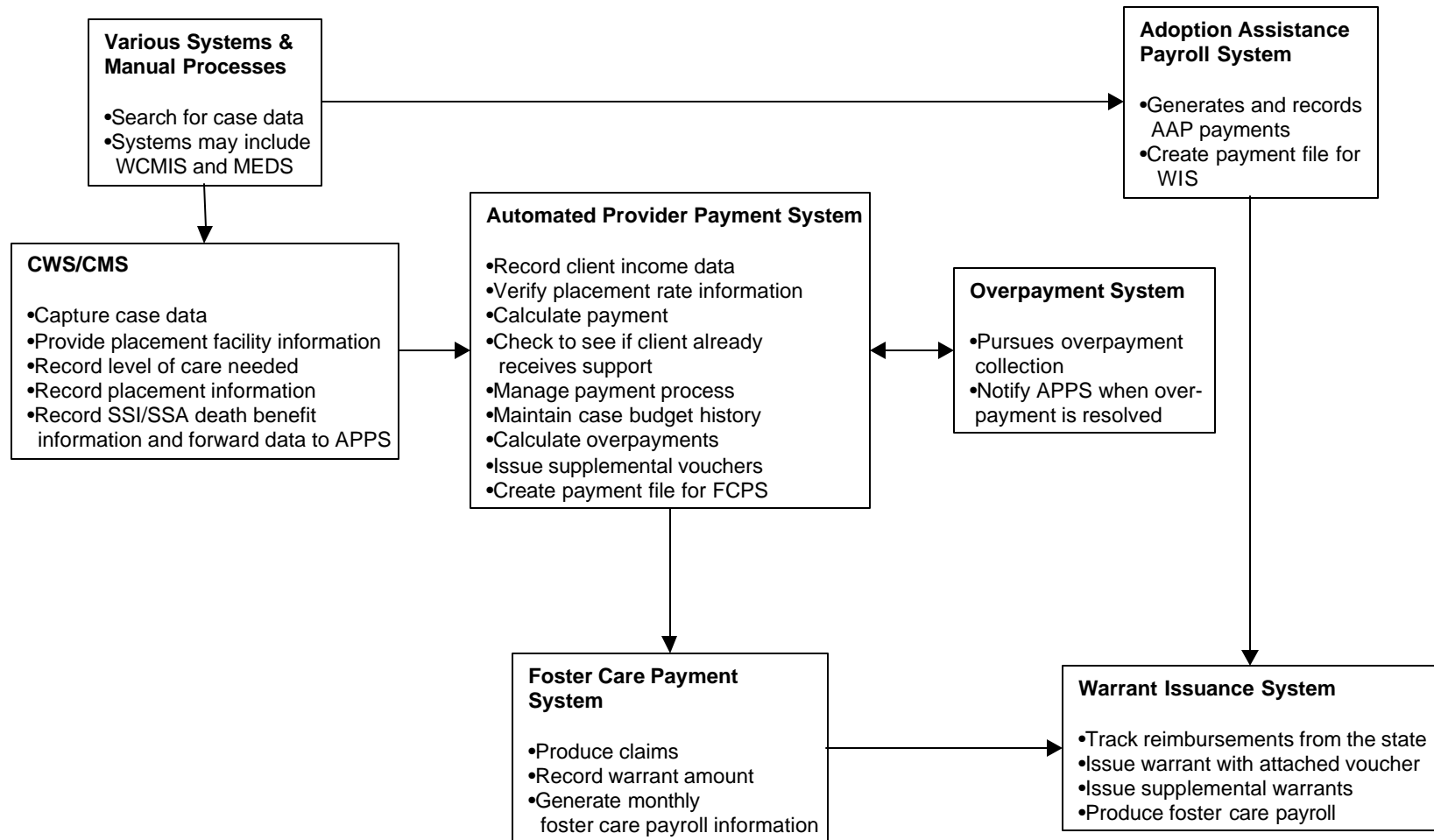
System Interfaces

Exhibit 5-1 shows how the above systems interface and some of the specific functions contained within each system.

Child Welfare Trust, Adoptions Assistance Payments, Family Preservation, Child Care and Mental Health.

EXHIBIT 5-1

LOS ANGELES COUNTY SYSTEM FLOW DIAGRAM



5.3 Potential Gaps in Functionality and Recommendations

Los Angeles County's income maintenance legacy systems are being replaced by LEADER system. As of July 2000, the LEADER system has been deployed to approximately 30 percent of Los Angeles County Department of Public Social Services (DPSS) users. According to the conversion manager for the LEADER project, none of the legacy systems being replaced by LEADER support Los Angeles County's Foster Care or Adoption Assistance programs. Therefore, the replacement of these legacy systems with LEADER will have no impact on DCFS's ability to continue supporting Title IV-B and Title IV-E financial management processes.

The CWS program should continue to monitor the implementation of LEADER to ensure that no systems supporting the Foster Care and Adoption Assistance programs are impacted.

6.0 ISAWS CONSORTIUM

6.1 Background

The Interim Statewide Automated Welfare System (ISAWS) was initially piloted in Napa County in the late 1980's as a possible solution for a consortium of counties. When the state undertook a multiple consortium strategy to automating welfare processes, the ISAWS system was designated for use as one of the consortium systems. Originally, 14 counties joined Napa County, formed the consortium, and deployed ISAWS for their use. An additional 20 counties joined the consortium later.

ISAWS is designed to be an eligibility determination system for the California Work Opportunity and Responsibility to Kids (CalWORKs) program, Food Stamps, child care benefits, Medi-Cal, the CMSP, Foster Care, Adoption Assistance, Refugee Assistance, Cal LEARN, and Employment Services programs. The system contains functionality for eligibility determination, benefit calculation, benefit issuance, and case management for intake, continuing eligibility and renewals. ISAWS also provides state/county fiscal and statistical reports, case management reports, and ad hoc reporting functionality.

The HHSDC maintains the ISAWS system under contract with the consortium. The ISAWS System Support Group provides needed technical support for the system. The consortium has initiated a study to determine the future of the ISAWS system.

6.2 Current System Description

This section describes how ISAWS supports eligibility determination, Foster Care and Adoption Assistance programs, payment issuance, and claims functions.

Eligibility Determination

Specific state-mandated forms (e.g. the SAWS 1 and FC 3 forms) and court data are used to complete the initial foster care application. These documents are utilized to complete the client information and eligibility fields within ISAWS. ISAWS utilizes information keyed from the forms and determines the correct federal and state aid code (e.g. severely emotionally disabled or voluntary placement) for the client. Workers collect asset and income information for each child as they would for adult welfare and use that information to record the child's income. Thus, ISAWS accounts for the child's income and includes the functionality that allows the worker to adjust the provider payment accordingly. ISAWS contains eligibility rules for each program and computes the eligibility determination and benefit calculation.

Foster Care

ISAWS automatically displays certain placement information. For instance, if a Group Home or Foster Family Agency number is entered, the home name and rate is automatically displayed. The system allows each county to use its own set of payment tables for Specialized Care payments. The *Foster Care Placement*, *Foster Care Special Payments*, and *Specialized Care* screens are used to capture information regarding the child's foster care placement needs, such as the authority for placement, placement type, and benefit payment amounts.

Payment Issuance

ISAWS calculates daily and monthly payments by provider and has the capability to issue warrants. However, some counties may have warrants issued only by the county Auditor/Controller. In these instances, the counties may have interfaces with their own Auditor/Controller for payment issuance.

The *Foster Care Intermediate Placement*, *Foster Care Special Payments*, *Foster Care Specialized Care*, and *Benefit Recovery* screens can be used to authorize supplemental payments, under special circumstances. To the extent the primary care provider (i.e. the placement facility) provides these services, the amounts are added to the monthly benefit check.

Claims Processing

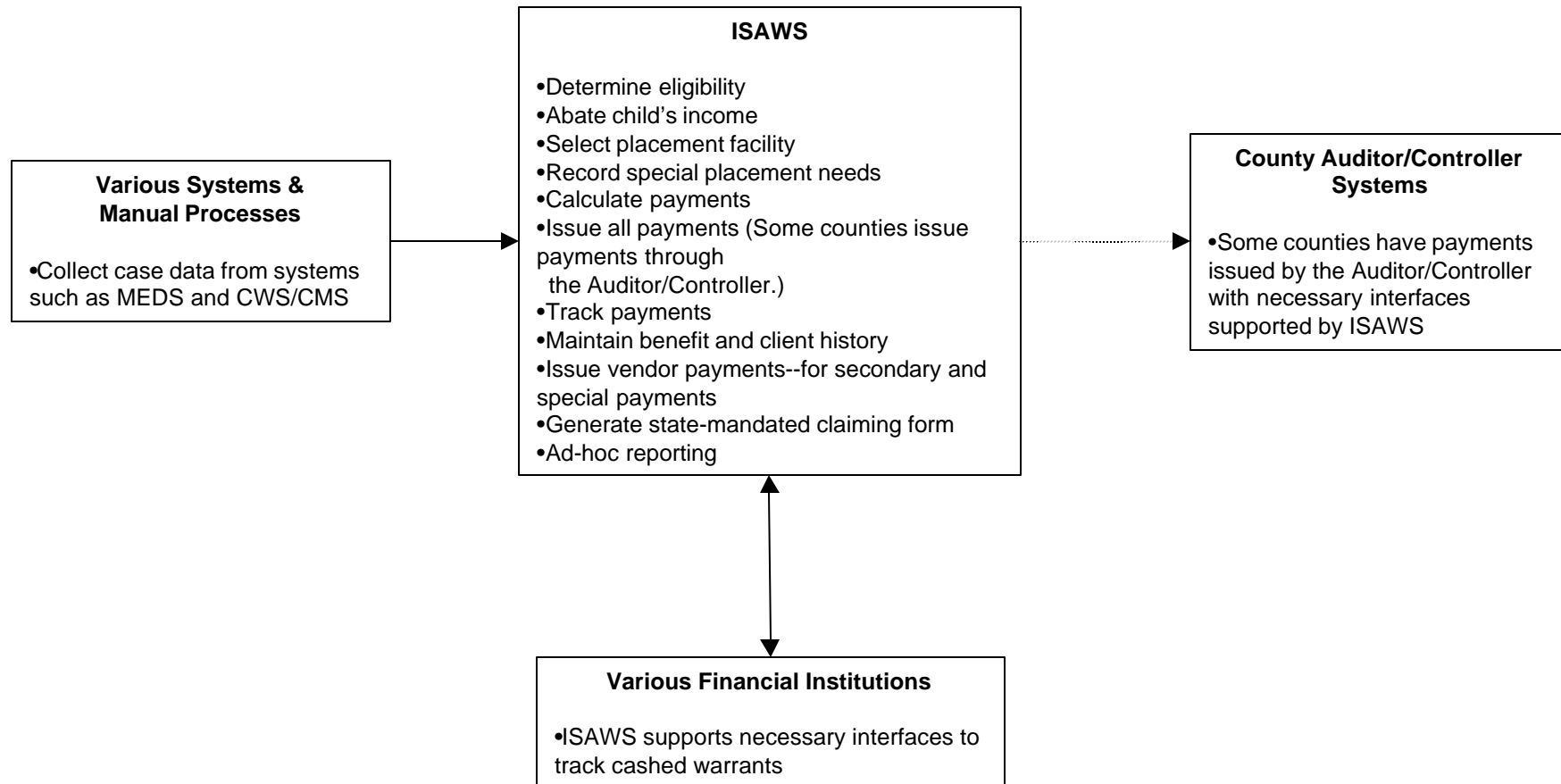
ISAWS generates the state-mandated reports and supporting detail reports that counties utilize to report funding and caseload to the state. This data is also used in the state claiming process for Title IV-B and Title IV-E funds.

System Interfaces

Exhibit 6-1 shows how ISAWS supports financial management functions in the counties.

EXHIBIT 6-1

ISAWS SYSTEM FLOW DIAGRAM



6.3 Potential Gaps in Functionality

According to our analysis of the functionality currently contained in the ISAWS system, no gaps appear to exist in the needed financial management functionality for Foster Care and Adoption Assistance programs. In May 2000 the consortium began identifying alternatives to the ISAWS system and planning for system replacement. We estimate that it could take the consortium 3-10 years to complete a replacement of the ISAWS system. Therefore, no immediate gap related to financial management functionality exists.

6.4 Recommendations

The CWS program should monitor the planning activities for an ISAWS replacement system to make certain that the replacement system contains all needed Foster Care and Adoption Assistance programs financial management functions.

7.0 IMPLICATIONS TO CWS/CMS

Given the current and planned environments for Title IV-E financial management functionality described in the preceding chapters, this chapter examines what the Federal Administration for Children and Families (ACF) expects related to the placement of Title IV-E financial management functionality and how these current and planned environments meet those objectives. The ACF prefers Title IV-E financial management support functionality to reside in statewide automated child welfare information systems (SACWIS). However, the ACF allows SACWIS systems to link to a statewide or department financial system. Although the 58 California counties use a variety of methods today to support Title IV-E financial management, the state will be able to meet the stated business objectives of SACWIS financial management functionality through current and planned systems.

7.1 SACWIS Requirements

Title IV-E of the Social Security Act required states to deploy child welfare systems that meet requirements known SACWIS. SACWIS systems were required to track the progress of children and youth in public and private child welfare agencies implementing programs under Titles IV-B and IV-E of the Social Security Act. The goals established by the ACF for SACWIS included:

- Provide states with automated support to meet the Adoption and Foster Care reporting requirements through the collection, maintenance, integrity checking and electronic transmission of the data elements specified by Adoption and Foster Care Analysis and Reporting System (AFCARS) requirements.¹
- Provide for the support of system interfaces and integration necessary for the coordination of services with other federally assisted programs and for the elimination of paperwork and duplication of data collection and data entry.

¹ 45 CFR Parts 1355, 1356, and 1357.

- Provide more efficient, economical and effective administration of programs within each state. This includes program management and administration for all services and case processing.

7.2 ACF Provides Systems Guidance

On February 24, 1995, the ACF issued Action Transmittal ACF-OISM-001 (AT-001). The purpose of AT-001 was to provide systems guidance and to identify the system requirements for states pursuing the development of a SACWIS. AT-001 sought to establish policy and supplement the intent of the Omnibus Budget Reconciliation Act of 1993 (OBRA 93) as interpreted through regulation, as well as to provide technical assistance to states in the design, development and implementation of SACWIS systems. In addition, AT-001 notes that "the system design must: improve program management and administration by addressing all program services and case processing requirements of CFR 1355.53; appropriately apply computer technology; not require duplicative development or software maintenance; and be reasonably priced."

In Part IV of AT-001, the ACF describes the minimum functionality and interface requirements expected in SACWIS systems. SACWIS systems are expected to have seven areas of functionality:

- | | |
|---------------------|------------------------|
| ▪ Intake management | ▪ Eligibility |
| ▪ Case management | ▪ Resource management |
| ▪ Court processing | ▪ Financial management |
| ▪ Administration | |

According to AT-001, the SACWIS Financial Management function supports three high-level processes: accounts receivable, accounts payable, and claims. The specific requirements read as follows.

Financial Management
<p>This function tracks and manages financial transactions. It may be part of the SACWIS itself or may be an automated interface to a department or statewide financial system.</p> <p>A. Accounts Payable -- The automated system must provide support for accounts payable to providers (billing, vouchers, etc.).</p> <p>B. Accounts Receivable -- The automated system must provide support for accounts receivable (e.g. overpayments, trust funds, SSI, etc.).</p> <p>C. Claims -- The automated system must provide support for the generation of provider payment and remittance advice. The automated system must support the update procedures necessary to adjust the claims process as a result of notification of status changes (including information received from title IV-A and other federal/state programs), including termination of the case.</p>

In addition, AT-001 determines that all functions in financial management are critical to meeting the minimum requirements of a SACWIS system, meaning the functions should be either part of the integrated child welfare information system or support the SACWIS through an automated interface.

Finally, AT-001 delineates the interfaces expected between the SACWIS and other systems to receive, transmit, and verify case and client information. The required interfaces include systems supporting the following programs:

- Title IV-A (AFDC or TANF);
- Title IV-D (child support);
- Title XIX (Medicaid); and
- Child Abuse and Neglect.

7.3 **ACF Clarifies Interface Expectations**

On August 21, 1998, the ACF issued Action Transmittal ACF-OSS-05 (AT-05). AT-05 provides additional guidance related to Federal expectations of interfaces

between SACWIS and other systems.² Specifically, AT-05 explains that the SACWIS system should enable the state to coordinate services with other Federally funded programs, eliminate paperwork and prevent duplicate data entry through properly designed and executed interfaces with other systems. ACF states that "in general, SACWIS interfaces should provide an efficient, effective and economical method of exchanging information between various State and Federal information systems."

In Section I.B of AT-05, ACF describes its expectations of the interface to the Title IV-A (TANF) system, which in California are the SAWS systems. The expected results of the interface include:

- Allowing automatic exchange of common and/or relevant data between the two systems to prevent duplicate data entry;
- Accepting and processing updated or new case data; and
- Identifying potential duplicate payments under Title IV-E and Title IV-A programs.

To accomplish interface requirements, ACF provides states with several options for automation, including:

- On-line: Direct, real-time, computer-to-computer exchange of electronic data
- Batch: Periodic, delayed exchanges of mass amounts of data between systems
- Common Database: A single database that serves the needs of two or more of the Title IV-A, IV-D, IV-E and/or XIX programs

7.4 ACF Reviews CWS/CMS

Section III.C of AT-05 describes the types of reviews the ACF will conduct in states implementing SACWIS systems. One of the types is the SACWIS Assessment Review. Once a system is operational -- as is the case with CWS/CMS -- the ACF will inspect the project to ensure that all aspects of the project as described in the approved

² AT-05 also examines the implications of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA) on Title IV-E eligibility determination as well as provides guidance on cost allocation and other issues raised since AT-001 was issued.

Advance Planning Document have been adequately completed and conform to applicable regulations and policies. In August 1999, ACF released its Assessment Review of California's SACWIS system.

As part of the overall review, ACF examined CWS/CMS to assess its functionality related to financial management. In its report, the ACF noted the following findings and requirements with respect to SACWIS financial management components.

Finding	Requirement
Accounts Payable	
CWS/CMS does not support the accounts payable process. Los Angeles County has developed an interface between CWS/CMS and its accounting system to pass data on placement providers only, not service providers. For the other 57 counties, no data passes between CWS/CMS and the county accounting system. The use of separate data interfaces between CWS/CMS and local accounting systems does not conform to SACWIS statewide requirements. The system does not support payments to adoptive parents.	<p>The State must modify CWS/CMS to support the accounts payable process, either within the application or through an interface with the appropriate county's accounting system. CWS/CMS must be able to connect a payment to an authorized placement or service provider, including the service authorization, the client, the number of units of service, the duration of services, and the service start and stop dates, as appropriate.</p> <p>The State must discontinue the use of manual processes and multiple Title IV-A systems to handle overpayments. The State must ensure that CWS/CMS is able to track all applicable payments, including "special care" payments.</p> <p>The State must indicate in the SACWIS Assessment Review Guide (SARG) and future IAPDUs how and when it plans to complete and implement this required SACWIS functionality.</p>
Accounts Receivable	
CWS/CMS does not support the accounts receivable process.	CWS/CMS must be modified to support the accounts receivable process, either within the application or through an interface with a county's accounting system. CWS/CMS must be able to link funds received to the appropriate client.
Claims	
CWS/CMS does not support the generation of provider payments and remittance advice.	CWS/CMS must be modified to support the generation of provider payments and remittance advice. Provider payment can either be generated from within CWS/CMS or through an interface to a county accounting system.

7.5 Current and Planned Environments

Today, counties use a full range of income maintenance legacy systems, county financial systems, and additional systems to capture and manipulate data used in the Title IV-E financial management process. In this process, CWS/CMS provides via

hardcopy documents the background data (e.g. on clients, dates, and providers) that supports financial management functions performed by other systems.

All current or planned SAWS systems have or will have the required financial management functionality to support accounts receivable, accounts payable, and claims processing to support the range of SAWS programs, i.e. TANF, Food Stamps, Title XIX, Refugees, General Assistance, etc.

In their procurement and design documents, WCDS and Consortium IV plan to link their systems to CWS/CMS to fully support Title IV-E programs' financial management needs. In the CalWIN system, the general system design includes an interface with CWS/CMS to support exchange of data on Title IV-E cases. Consortium IV's proposed project scope also includes such an interface with CWS/CMS. In Los Angeles County, CWS/CMS interfaces with its accounting system, APPS, to pass data on Title IV-E cases for payments to placement and service providers. ISAWS currently has no automated interface to CWS/CMS but would under California's proposal via CalSERV.

7.6 California Proposal

California envisions the use of SAWS' financial management functionality, thereby avoiding the duplicative costs of this functionality in CWS/CMS. Since the financial management functionality in SAWS is intended to support the many SAWS-associated programs, the data gathered during this study indicates that it is only necessary to develop CWS/CMS-to-SAWS interfaces to achieve a cost-effective timely solution.

California envisions a phased implementation of the CWS/CMS-to-SAWS interface. The long-term plan (or last phase) is to interface CWS/CMS to the SAWS CalSERV middleware. Thus, California's SACWIS will have an automated interface to a

statewide system supporting financial management. Until CalSERV can provide this single point of interface, California plans to implement interfaces directly to the consortia systems, according to their project schedules. Planned SAWS systems support SACWIS requirements by consolidating and automating the functionality and interfaces required to support financial management (for SAWS programs as well as Title IV-E). This consortium-by-consortium phased implementation will provide a timely progression toward achieving the full benefits of the long-term plan.

7.7 Conclusion

In conclusion, the ACF requires SACWIS systems to be efficient, economical and effective solutions to administrate Title IV-E programs. Specifically, SACWIS requirements call for functionality to be contained in the SACWIS system or to be available through an automated interface to a statewide or department financial system. In its review of CWS/CMS, the ACF indicated that CWS/CMS could support financial management functions through interfaces to county accounting systems, which could mean up to 58 links in California. Given California's current environment, incorporating financial management functionality in CWS/CMS or a stand-alone system would be time consuming, expensive, and duplicative of efforts underway to develop the functionality in SAWS systems, where it is needed to support the financial management needs of SAWS' programs. Based on the available information, California's vision of interfacing to SAWS is the timeliest, most cost-effective approach.

APPENDIX A

DEPARTMENT OF SOCIAL SERVICES

744 P Street, Sacramento, CA 95814



August 8, 2000

<Contact Name>

<County>

Delivered via email to <insert email address>

Original sent to County Welfare Director for information purposes only

SUBJECT: IV-B and IV-E FINANCIAL MANAGEMENT ANALYSIS

Dear <Contact>:

The California Department of Social Services, in conjunction with the CWS/CMS Project, retained the services of MGT of America, Inc. MGT is studying how counties feed information to the financial management systems supporting foster care and adoptions programs (Title IV-B and Title IV-E). The goal of this project is to assess what impact the replacement of legacy income maintenance systems with the CalWIN and C-IV systems will have on counties' ability to make foster care and adoptions payments as well as to handle accounts receivable and claims. In addition, the project will determine what impact the replacement of legacy income maintenance systems with statewide automated welfare systems (SAWS) will have on counties' ability to make foster care and adoptions payments as well as to handle accounts receivable and claims.

This study is extremely important because as you know some of California's foster care and adoptions financial management processes are supported by information maintained in legacy income maintenance systems and several of these systems are being converted to new systems in response to welfare reform.

Jim Obermaier and Megan Atkinson of MGT; Mia James, Health and Human Services Data Center, CWS/CMS Project; and Nancy Goodman, CMS Support Branch, have visited counties and SAWS consortia project sites to gather necessary information. A written survey (see attached) has been utilized at these meetings. Given time constraints, we will not be able to personally visit your county. However, the information we need from you is very important. Therefore, we are now requesting your assistance in completing this survey. We would appreciate it if you would forward it to the person or team best able to complete the survey for your county. The survey can be returned by mail to:

MGT of America, Inc.
Attn: Jim Obermaier
455 Capitol Mall, Ste. 605
Sacramento, CA 95814

by fax to: Jim Obermaier @ (916) 443-3411

by e-mail: jim_obermaier@mgtamer.com

Based on our experience field testing the survey at personal visits and conference calls, it should take approximately 15-30 minutes to complete.

If you prefer, Jim is available to work with your team to complete the survey over the phone. He can be reached at (916) 443-3411.

Some of you may recall the recently completed project conducted by Synergy Consulting, Inc. to analyze options for eligibility determination. We recognize that many of you provided information during the Synergy project, and we understand that finding time to complete these surveys is challenging. **We sincerely apologize for the short timeframe in which to complete this survey. However, in order to complete this analysis in a timely fashion, we would appreciate receiving your response to this survey by August 18, 2000.**

Thank you for your assistance. Please call Melissa Gamer, Chief, CMS Support Branch at (916) 445-2888 if you have comments or questions other than those appropriate for Jim Obermaier or Megan Atkinson.

Sincerely,

Original signed by James W. Brown, Assistant Deputy Director, for

SYLVIA PIZZINI
Deputy Director
Children and Family Services Division

CWS/CMS Financial Management Analysis Project County Legacy System Survey

The CWS/CMS project has commissioned MGT of America to study how counties handle the financial management aspects of foster care and adoptions programs (Title IV-B and Title IV-E). The CWS/CMS project wants to assess whether the counties' ability to issue payments and manage other financial aspects of the foster care and adoptions programs will be disrupted by the replacement of any county income maintenance legacy systems.

The attached survey will provide information about your county's legacy systems that perform financial management functions for Title IV-B and Title IV-E Foster Care and Adoptions Assistance programs. This is not intended to be a detailed review of all the business processes and supporting system functionality. Rather, our goal is to gain a general understanding of your county's approach to financial management.

The survey has two components. One verifies our understanding of your county's legacy systems. The other identifies the process flow for Title IV-B and Title IV-E financial management in your county.

First, we provide a list of legacy systems that we know of in your county. The survey asks you to identify which of your legacy systems support or perform key Title IV-B and Title IV-E financial management processes -- e.g. account for child income -- so we can concentrate our documentation efforts on the appropriate systems. We only want to document systems that support Title IV-B and Title IV-E financial management processes. You are then asked to provide a brief (2-3 sentence) description of the system. We have provided a description of Riverside County's Financial Management Information System as an example. Finally, we ask you to identify which systems interface with one another and what type of information is shared.

The survey then seeks to document the process flow for Title IV-B and Title IV-E financial management. For example, does your county account for the child's income during the eligibility determination process? Are payments calculated within the child welfare department and then notification is sent to the county auditor-controller to issue warrants? We have provided a matrix called the *Process and Systems Worksheet* that identifies the seven major processes in which we are interested. We ask that you identify:

- the county department responsible for the process;
- whether the process is manual or automated; and
- if automated, please provide the system name.

Additionally, it is important that we understand the subprocesses that support the major processes. Therefore under each major process please detail any subprocesses of which we should be aware. Finally, if we have presented the processes in an order other than that used by your county, please number the processes in the column titled "Process Order." We have provided a mock-up of the Los Angeles County process as an example.

If you have any questions about this survey, please contact Jim Obermaier or Megan Atkinson of MGT at (916) 443-3411.

We would greatly appreciate it if you could complete the survey and return it to Jim by August 18, 2000. You can email it to Jim at jobermai@mgtamer.com. Thank you!

CWS/CMS Financial Management Analysis Project County Legacy System Survey

County Name: Sacramento

Name and Title of Person(s) Completing Survey: _____

Telephone Number: _____

List of **Sacramento County** Legacy Systems (obtained from **June 1999 CalWIN IAPDU**)

- Welfare Client Data System (WCDS)

1. Please mark out any of the above listed systems that do not support your county's Title IV-B and Title IV-E financial management processes. If your county uses systems for Title IV-B and Title IV-E financial management that are not listed, please list them.

2. Please provide a short (2-3 sentence) description of each system. For example, the following description of the Riverside County Financial Management Information System (FMIS) is exactly what we need.

The FMIS is a mainframe system used by all county agencies. It is "owned and operated" by the Auditor/Controller. This system issues benefits for Riverside County and reconciles benefits issued with those authorized and paid.

3. Please indicate with which system(s) each system currently interfaces and the type of information shared. For example, "System A provides client name and case number to System B."

4. Will your county continue to utilize the existing systems for Title IV-B and Title IV-E financial management once the CalWIN/C-IV SAWS system is implemented, or is your county planning to utilize the CalWIN/C-IV system?

5. If your county is planning to continue using some or all of the existing systems, please indicate
 - which of the listed systems will be replaced when the CalWIN/C-IV SAWS system is implemented;
 - which systems you plan to continue using; and
 - whether the system's purpose will remain the same.

Thank you for taking time to complete this survey. Please return it to Jim Obermaier of MGT at jobermai@mgtamer.com. You may also mail the survey to him at 455 Capitol Mall, Suite 605, Sacramento, CA 95814.

Los Angeles County Title IV-B and Title IV-E Financial Management Processes and Supporting Systems				
Process Order	Process Description	Department	Manual or Automated	Name of System(s)
1	Account for child's income and/or assets			
	Parent provides information	Dept. of Children and Families (DCFS)	Manual	
	Search MEDS	DCFS	Automated	Medi-Cal Eligibility Data System (MEDS)
2	Process primary care provider payments			
	Input child placement and rate information	DCFS	Automated	CWS/CMS -- system contains rate tables for LA county.
	Download case information to APPS (daily). APPS verifies rate information, checks to see if child already in system, and prorates the payment if needed.	DCFS	Automated	Automated Provider Payment System (APPS)
	APPS interfaces with FCPS to record the payment	DCFS	Automated	APPS and Foster Care Payment System
	Payment file sent to county Auditor/Controller	DCFS	Automated	FCPS
	A/C prints next month's voucher and current month's warrant, sends both to provider	Auditor/Controller	Automated	Warrant Issuance System (WIS)
3	Process secondary care provider payments (e. g. counseling)			
	APPS prepares and prints invoice on a daily, as-needed basis.	DCFS	Automated	Automated Provider Payment System
	Invoice sent to provider for corrections, verification.	DCFS	Manual	
	Corrected invoice received from provider and entered into system.	DCFS	Automated	APPS
	Voucher sent to A/C so warrant can be issued.	DCFS	Manual	
	A/C issues warrant, warrant sent to provider with voucher.	Auditor/Controller	Automated	Warrant Issuance System (WIS)
4	Process special payments (one-time, emergency, other)			
	Same as above.			
5	Process Adoption Assistance payments			

Los Angeles County Title IV-B and Title IV-E Financial Management Processes and Supporting Systems				
Process Order	Process Description	Department	Manual or Automated	Name of System(s)
	Information entered into Adoptions Assistance System.	DCFS	Manual	CWS/CMS produces AAP2 form, which contains the data entered into the Adoptions Assistance System
	Adoptions Assistance System linked to A/C, sends payment file to A/C	DCFS	Automated	Adoptions Assistance System
	A/C issues payment	Auditor/Controller	Automated	Warrant Issuance System (WIS)
6	Process provider overpayments and underpayments			
	Over/Under payments highlighted by APPS	DCFS	Automated	APPS
	Revenue Enhancement Division pursues collection of overpayments separately from monthly provider payments.	DCFS	TBD	TBD
	Revenue Enhancement Division reconciles underpayments	DCFS	TBD	TBD
7	Reconcile monthly allotment of Title IV-E and IV-B funds			
	Foster Care Payroll printed	DCFS	Automated	FCPS
	Revenue Enhancement Division reconciles payroll with allotment from state.	DCFS	Manual	

County Name: _____

Process Order	Process Description	Department	Process Type	
			Manual or Automated	System Name
	Account for child's income and/or assets			
	Process primary care provider payments			
	Process secondary care provider payments (e. g. counseling)			
	Process special payments (one-time, emergency, other)			
	Process Adoption Assistance payments			
	Process provider overpayments and underpayments			
	Reconcile monthly allotment of Title IV-E and IV-B funds			

APPENDIX B

Appendix B: WCDS and Consortium IV County Legacy Systems and Processes Supported

County Name	County Legacy Systems	Processes and Functions Supported		
		Payables	Client Income	Assistance Claims
Alameda	no response			
Contra Costa	Welfare Case Data System (WCDS)	X	X	X
	Columbia Ultimate Business System (CUBS)		X	
	County Finance System	X		
Fresno	no response			
Merced	Merced Automated Global Information Control System (MAGIC)	X	X	X
	Financial Information and Resource Management System (FIRMS)	X		
	Voucher Invoice and Payment System (VIPS)	X		
Orange	Welfare Case Data System (WCDS)	X	X	X
	County Accounting Personnel System (CAPS)	X		
	Ventura Automated Collection System (VACS)		X	
Placer	Welfare Case Data System (WCDS)	X	X	X
	Bottomline	X		
	Performance Accounting System (PAS)	X		
	Ventura Automated Collection System (VACS)		X	
Riverside	Machine Budget System (MBS)	X	X	
	Accounts Receivable Collections System (ARCS)		X	
	CPS Child Care System	X		
	Walk Through System	X		
	Focus Voucher Entry (FVE)		X	
	Warrant Validation System (WVS)	X		
	Riverside Integrated Financial Management Information System (RIFMIS)	X		X
	Revenue Tracking System (RTS)			X
Sacramento	Welfare Case Data System (WCDS)	X		X
	COMPASS (SAP system)	X		

County Name	County Legacy Systems	Processes and Functions Supported		
		Payables	Client Income	Assistance Claims
San Bernardino	AS400-RPAS	X		
	Counter Warrant System	X		
	Welfare Database (WDB0	X	X	X
	Treasurer's Accounting System (TZ)	X		
	Financial Accounting System (FAS)	X		
	BAMTRAC	X		
San Diego	Welfare Case Data System (WCDS)	X		X
	ARMS	X		
San Francisco	Welfare Case Data System (WCDS)	X		X
	Collection Management Activity System (CMAS)		X	
	Financial Accounting Management Information System (FAMIS)	X		
	On-Line Client Index	N/A	N/A	N/A
San Luis Obispo	Welfare Case Data System (WCDS)	X		X
	Ventura Automated Collection System (VACS)		X	
	Financial Management System (FMS)	X		X
San Mateo	Welfare Case Data System (WCDS)	X	X	X
	Integrated Financial Accounting System (IFAS)	X		
Santa Barbara	Welfare Case Data System (WCDS)			X
	County Fiscal System (CFS)	X		
Santa Clara	Welfare Case Data System (WCDS)	X	X	X
	Ventura Automated Collection System (VACS)		X	
	Treasurer-Controller System	X		
Santa Cruz	Welfare Case Data System (WCDS)	X	X	X
	Financial Accounting Management Information System (FAMIS)	X		X

County Name	County Legacy Systems	Processes and Functions Supported		
		Payables	Client Income	Assistance Claims
Solano	Welfare Case Data System (WCDS)	X		X
	Ventura Automated Collection System (VACS)		X	
	Integrated Fund Accounting System (IFAS)	X		
Sonoma	Welfare Case Data System (WCDS)	X	X	X
	Ventura Automated Collection System (VACS)		X	
	Financial Accounting Management Information System (FAMIS)	X		X
	Purchasing System (PURS)	X		
Stanislaus	dBASE	X		
	Master/Dependent Legacy System (M/DLS)	X	X	X
	Oracle Financial Management System (Oracle)	N/A	N/A	N/A
Tulare	Welfare Case Data System (WCDS)	X		X
	Accounting and Financial Information Network (AFIN)	X		X
	Ventura Automated Collection System (VACS)		X	
Ventura	Welfare Information Computation and Reporting System (WICAR)	X	X	X
	Ventura Automated Collection System (VACS)		X	
	Financial Management System (FMS)	X		
Yolo	Welfare Case Data System (WCDS)	X		
	General Ledger System	X		X

APPENDIX C

ALAMEDA COUNTY

I. Background

Two primary departments manage the processes that support the financial management of the Foster Care and Adoption Assistance programs in Alameda County. The Social Services Agency (SSA) provides employment services, emergency financial assistance, and social services to residents of Alameda County. SSA determines eligibility; manages cases; calculates benefits; collects child support, SSI/SSA and death benefits; and provides associated services to welfare, foster care and adoption clients. SSA works with the Alameda County Information Technology Department to generate warrants for Foster Care and Adoption Assistance providers. SSA also processes overpayments related to Foster Care and Adoptions Assistance services. Finally, SSA prepares, reconciles and submits aid claims to the state.

The County Auditor-Controller is responsible for reconciliation of all cash warrants issued by SSA.

II. Current System Descriptions

Six information technology systems support the financial management of Alameda County's Foster Care and Adoption Assistance programs. These systems are the:

- Welfare Case Data System;
- Reconciliation System for Placement Costs;
- On-Line Held and Returned Warrant System;
- Special Payments System;
- AlcoLink; and the
- Direct Deposit System.

The following provides a more complete description of each system.

Welfare Case Data System (WCDS)

The Welfare Case Data System (WCDS) is a mainframe system used to support case management, payments, reporting, and interfaces to the On-Line Held and Returned Warrant System and the Direct Deposit System. SSA uses the system to produce warrants for primary and Adoption Assistance Program vendors as well as a variety of fiscal, management, claiming, and caseload reports.

WCDS interfaces with the On-Line Held and Returned Warrant System to record holds for paper warrants, to authorize release of warrants, and to cancel warrants. In addition, WCDS interfaces with the Direct Deposit System to provide automatic deposit of public assistance payment data for clients. SSA owns and operates WCDS for Alameda County. Alameda County intends to replace WCDS with the CalWIN system and use the associated functionality available in CalWIN.

Reconciliation System for Placement Costs (RESPECT)

The Reconciliation System for Placement Costs (RESPECT) extracts data from CWS/CMS and provides it to eligibility workers so that the Foster Care eligibility case can be updated. This includes placement information as well as the court date and home visit date. The court and home visit dates are pertinent for the required reinvestigations for the child's Foster Care case. The court and visit dates print on the eligibility worker's monthly case listing report (CDS608), which workers use to process the reinvestigation. Alameda County intends to replace RESPECT with the CalWIN system and use the associated functionality available in CalWIN.

On-Line Held and Returned Warrant System (OLHRWS)

The On-Line Held and Returned Warrant System (OLHRWS) allows eligibility staff to record holds for paper warrants, authorize release and mailing of warrants, and cancel warrants. SSA Fiscal clerical staff use OLHRWS to take action on authorization

provided by eligibility staff. Alameda County intends to replace OLHRWS with the CalWIN system and use the associated functionality available in CalWIN.

Special Payments System (SPS)

The Special Payments System (SPS) is an SSA system that interfaces with AlcoLink, the county's payment system, for a variety of payment types. The only eligibility program payments from this system are certain Foster Care payments known as County Pay. These payments are issued through SPS, but the Foster Care case is maintained on WCDS. SSA is currently evaluating whether to use CDS to issue the County Pay payments to consolidate all benefit issuance activities into one system.

AlcoLink

AlcoLink is an integrated suite of financial and human resources applications using PeopleSoft's Human Resources Management System and financial packages along with county-maintained products. AlcoLink serves as the county-wide financial and personnel system and encompasses all processes related to county payments, payroll, purchasing and procurement, and employee records. AlcoLink is used to generate secondary care and special payment warrants, as well as to produce reports about expenditures for secondary care and special services for claiming purposes.

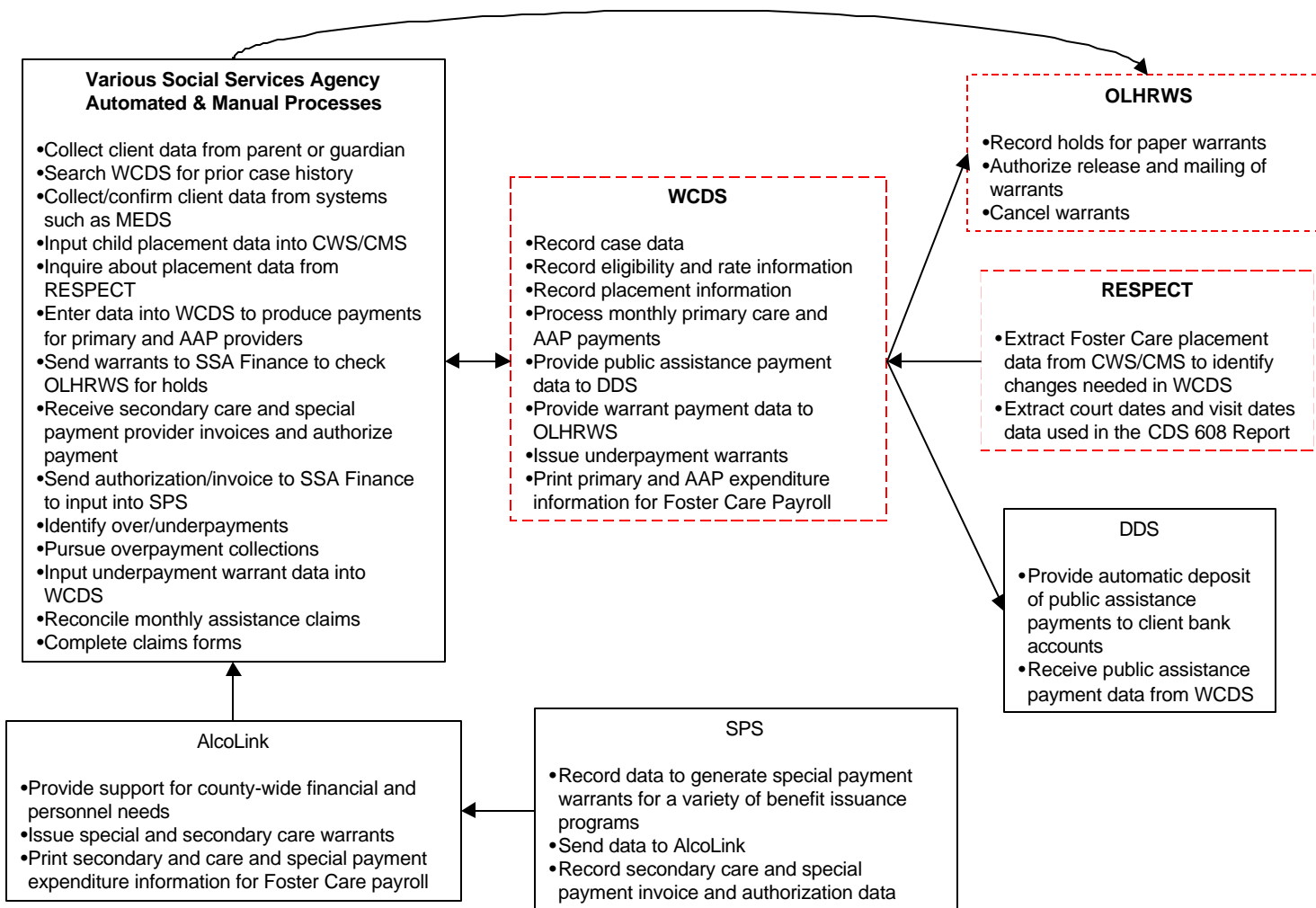
Direct Deposit System (DDS)

The Direct Deposit System (DDS) is a component of WCDS and allows Alameda County recipients to opt for cash payments directly into their bank accounts rather than receiving a paper document.

System Interfaces

The following system flow diagram shows how the above systems interface and some of the specific functions contained within each system.

ALAMEDA COUNTY SYSTEM FLOW DIAGRAM



Dashed borders indicate a system that CalWIN plans to replace.

CONTRA COSTA COUNTY

I. Background

Three primary departments manage the processes that support the financial management of the Foster Care and Adoption Assistance programs in Contra Costa County. The Employment and Human Services Department (EHSD) provides employment services, financial assistance, Medi-Cal and other social services. EHSD determines eligibility, manages cases, calculates and issues benefits, and provides associated services to welfare, foster care and adoption clients. EHSD receives death benefits and SSI/SSA monies, which it keeps in welfare accounts at various financial institutions. The District Attorney sends child support monies to EHSD through the Best Enforcement Support Technology (BEST) system. EHSD also identifies overpayments for collection by the County Collections Agency.

The County Auditor/Controller records assistance payments and works with EHSD to reconcile and adjust expenditures and collections. The Auditor/Controller also receives data on redeemed checks from Wells Fargo Bank. Finally, the Welfare Section of the Auditor/Controller's office prepares, reconciles, and submits aid claims to the state.

The Department of Information Technology (DOIT) generates the physical warrants for Foster Care and Adoption Assistance vendors.

II. Current System Descriptions

EHSD, the Auditor/Controller, and DOIT use three information technology systems to support the financial management of Contra Costa County's Foster Care and Adoption Assistance programs. These systems are the:

- Welfare Case Data System;
- County Finance System; and
- Columbia Ultimate Business System.

The following provides a more complete description of each system.

Welfare Case Data System (WCDS)

The WCDS provides automated support of public assistance programs such as Foster Care, Adoption Assistance, CalWORKS, Medi-Cal, and Food Stamps. WCDS enables tracking of client and case status and provides support for benefit issuance, reconciliation, assistance claims, and reporting. In addition, WCDS records death benefits, SSI/SSA receipts and child support income on behalf of clients. DOIT uses the system to produce warrants. WCDS generates a file of all payments made for the County Finance System. Checks are assumed to be redeemed in WCDS if they have not been cancelled. An automated interface exists between WCDS and MEDS.

Contra Costa County intends to replace WCDS with the CalWIN system.

County Finance System (CFS)

The CFS captures payment information from WCDS. CFS also records requests for payments to secondary care providers and issues associated payments. All cancelled checks, expired checks, and lost/stolen checks are handled manually and recorded in the CFS. Redeemed checks go through the Positive Pay System at Wells Fargo Bank and a report is sent from the bank to the Auditor/Controller. Check status data is not uploaded to WCDS. CFS is owned and operated by the county Auditor/Controller.

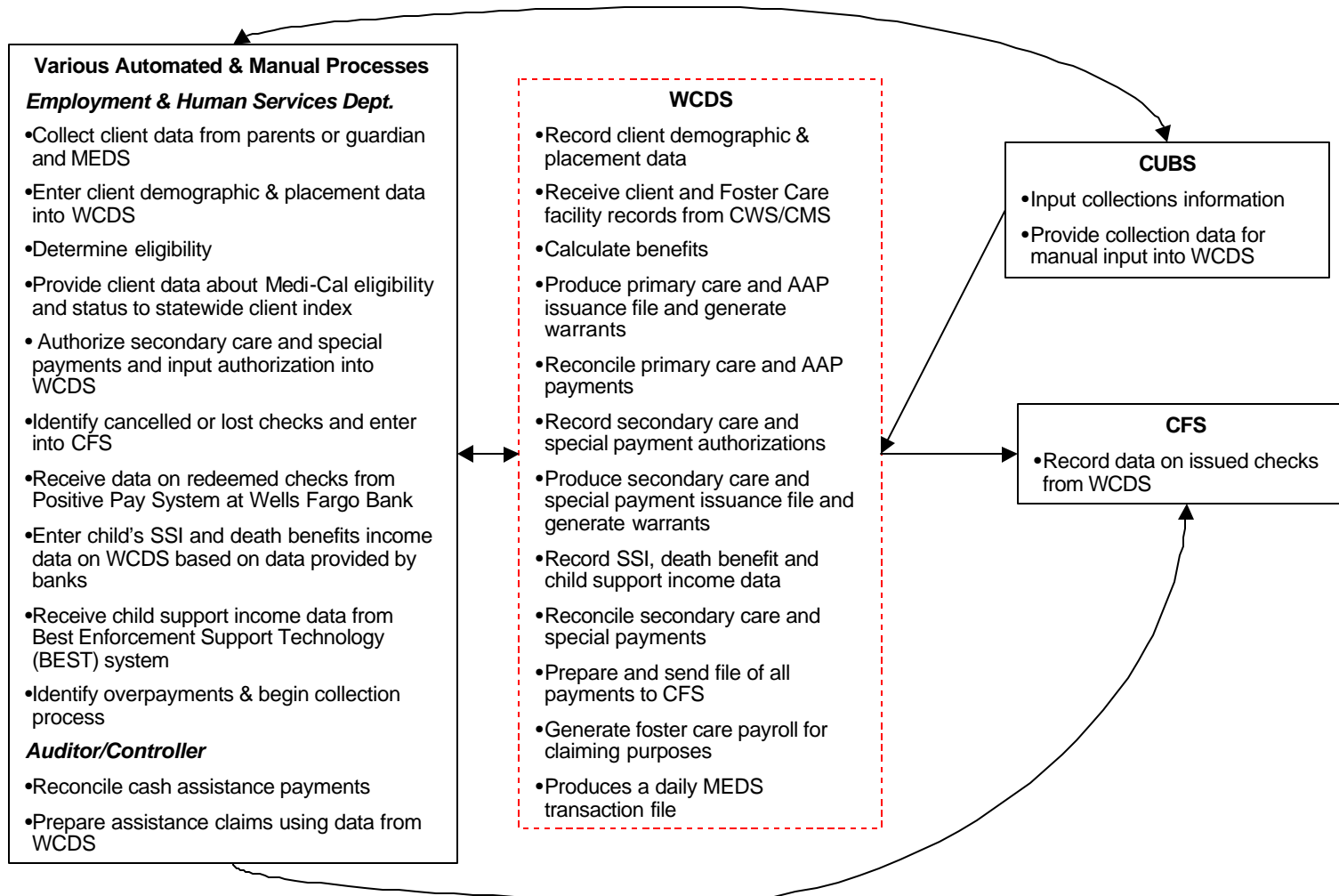
Columbia Ultimate Business System (CUBS)

CUBS captures overpayment and related collection information. CUBS is owned and operated by the County Collections Agency.

System Interfaces

The following system flow diagram shows how the above systems interface and some of the specific functions contained within each system.

CONTRA COSTA COUNTY SYSTEM FLOW DIAGRAM



Dashed borders indicate a system that CalWIN plans to replace.

FRESNO COUNTY

Fresno County did not respond to the survey or follow-up efforts.

ORANGE COUNTY

I. Background

Two primary departments manage the processes that support the financial management of the Foster Care and Adoption Assistance programs in Orange County. The SSA provides employment services, emergency financial assistance, and social services to residents of Orange County. SSA determines eligibility; manages cases; calculates and issues benefit payments; records SSI/SSA and child support payments; and provides associated services to welfare, foster care, and adoption clients. SSA also processes and collects overpayments related to Foster Care and Adoptions Assistance services. Finally, SSA prepares, reconciles, and submits aid claims to the state.

The County Auditor/Controller, which manages various financial functions for County departments and special districts and maintains the County's general ledger, issues payments to secondary care providers and provides SSA with data related to the redemption of checks.

II. Current System Descriptions

Three information technology systems support the financial management of Orange County's Foster Care and Adoption Assistance programs. These systems are:

- WCDS;
- CAPS; and the
- VACS.

The following provides a more complete description of each system.

Welfare Case Data System (WCDS)

In Orange County, the SSA uses the WCDS to support case management; issue primary care, adoption assistance, and special payments; share data with the County Auditor/Controller's CAPS system; and prepare a variety of fiscal, management, claiming, and caseload reports. SSA also uses the system to record child support and SSI/SSA receipts and to process and collect overpayments. Aid claims are compiled and prepared using reports generated by WCDS.

WCDS interfaces with the Auditor/Controller's CAPS system to provide the check number, check amount, and issue/cancel date information needed to reconcile warrants issued with warrants cashed. WCDS is owned and operated by SSA.

Orange County intends to replace WCDS with the CalWIN system.

Countywide Accounting Personnel System (CAPS)

The CAPS system records detailed data for checks issued by WCDS for primary care services, adoption assistance, special services, and underpayments. CAPS also issues checks for secondary care providers based on data provided by WCDS. CAPS is owned and operated by the Orange County Auditor/Controller.

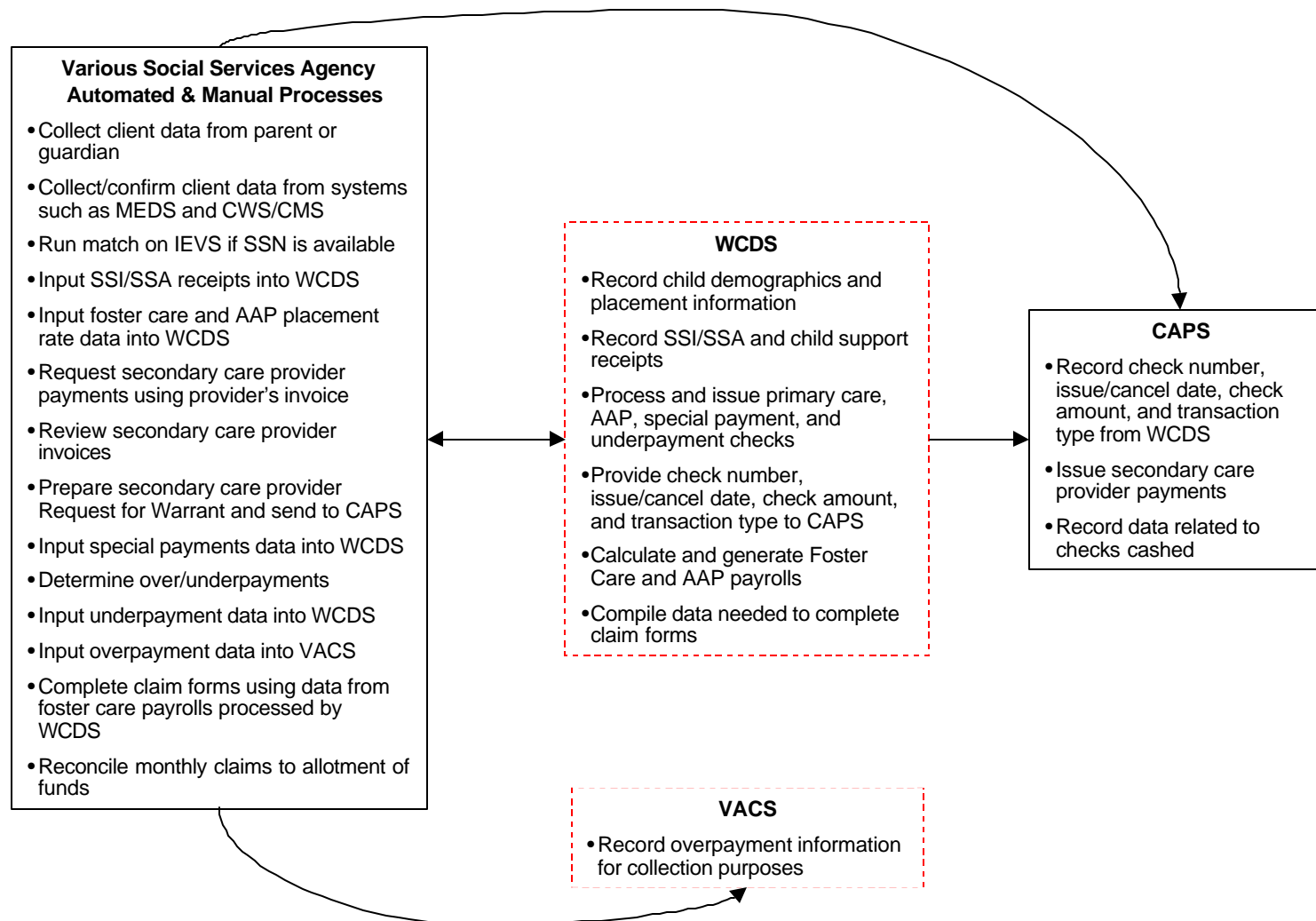
Ventura Automated Collections System (VACS)

The VACS system captures overpayment and related collection information. SSA uses VACS to identify funds collected and to reconcile aid claims. VACS is owned and operated by the Accounting Services Unit of the SSA.

System Interfaces

The following systems flow diagram shows how the above systems interface and some of the specific functions contained within each system.

ORANGE COUNTY SYSTEM DIAGRAM



Dashed borders indicate a system that CalWIN plans to replace.

PLACER COUNTY

I. Background

Two primary departments manage the processes that support the financial management of the Foster Care and Adoption Assistance programs in Placer County. The Health and Human Services Department (HHS) provides employment services, emergency financial assistance, and social services to residents of Placer County. The Children's System of Care (CSOC), a division of HHS, determines eligibility; manages cases; calculates benefits; and prepares, reconciles, and submits aid claims to the state.

The county Auditor/Controller prints and distributes warrants and records them in the county's accounting system for reconciliation purposes. In addition, the Auditor/Controller tracks check redemption information.

II. Current System Descriptions

Four information technology systems support the financial management of Placer County's Foster Care and Adoption Assistance programs. These systems are the:

- Welfare Case Data System;
- Bottomline;
- Performance Accounting System; and the
- Ventura Automated Collections System.

The following provides a more complete description of each system.

Welfare Case Data System (WCDS)

In Placer County, the WCDS supports case management, payments, interfaces to the county Auditor/Controller's Bottomline and the Performance Accounting System (PAS), and reporting. CSOC uses the system to record client demographic and placement information and to produce payment files for primary, secondary, special

services, and Adoption Assistance programs. WCDS also captures SSI/SSA and child support income information for clients.

WCDS interfaces with the Auditor/Controller's Bottomline system to provide the warrant number, warrant amount, issue date, and case information needed to issue benefits. All warrant tracking is supported by WCDS and facilitates reconciliation of warrants issued with warrants redeemed. Finally, WCDS produces reports that HHS uses to prepare monthly assistance claims.

HHS contracts with Electronic Data Systems to operate WCDS. Placer County intends to replace WCDS with the CalWIN system.

Bottomline

The Placer County Auditor/Controller contracts with a vendor for its check writing process. The system the vendor uses is called Bottomline. Bottomline receives an issuance file from WCDS containing payment and payee data. Based on this file, Bottomline prints the warrants and sends an update file to the Auditor/Controller's PAS.

Performance Accounting System (PAS)

PAS captures warrant information from Bottomline. In addition, PAS directly issues payments that were originally entered into PAS via a payable document initiated by a Placer County Accounting staff member. To capture warrant redemption information, PAS receives a daily update file from the bank to allow reconciliation of warrants issued with warrants redeemed. PAS also records data on cancelled checks. PAS does not provide warrant redemption information to WCDS, however HHS staff have an on-line connection to PAS to check the status of warrants. PAS is owned and operated by the Placer County Auditor/Controller.

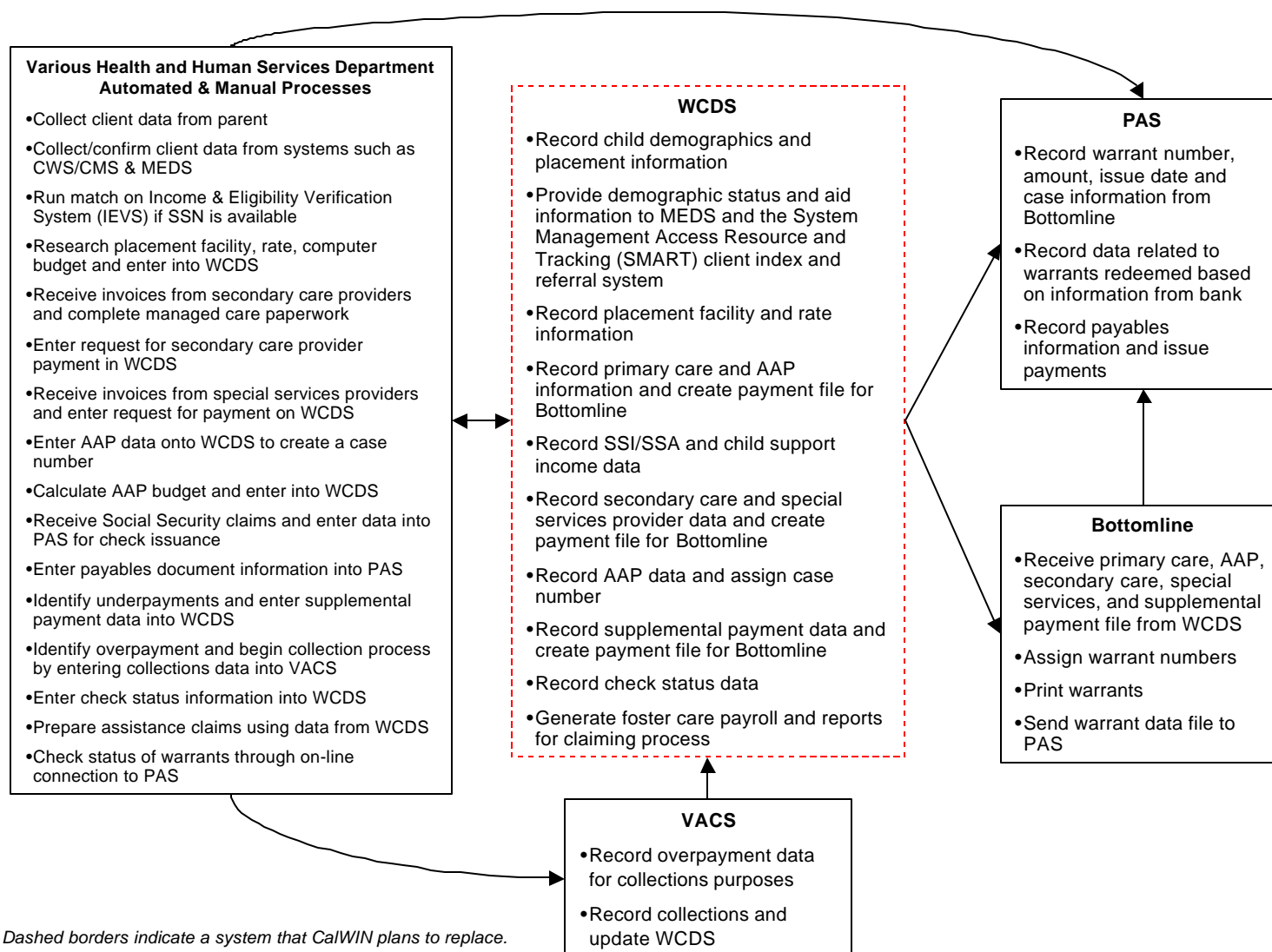
Ventura Automated Collections System (VACS)

VACS captures overpayment and related collection information. Using this data, VACS issues monthly statements and records payments received. HHS also uses VACS to identify funds collected. VACS provides collection receipt information to WCDS.

System Interfaces

The following system flow diagram shows how the above systems interface and some of the specific functions contained within each system.

PLACER COUNTY SYSTEM FLOW DIAGRAM



SACRAMENTO COUNTY

I. Background

Sacramento County's Foster Care and Adoption Assistance program functions are split between two main departments. The Department of Health and Human Services provides program services, general program administration, and authorizes certain non-Title IV-B and Title IV-E special service payments to vendors.

The Department of Human Assistance (DHA) handles client intake, determines client eligibility, manages cases, calculates benefits, gathers client income information, processes provider payments, reconciles program expenses with the county's funding allotment, and submits monthly program funding claims to the state. DHA also discovers and processes overpayments and underpayments related to Foster Care and Adoption Assistance program payments.

The Auditor/Controller provides secondary support for financial management functions by bursting and signing the warrants before they are sent to providers.

II. Current System Description

The County of Sacramento utilizes a significant amount of manual processes in performing financial management functions for Foster Care and Adoption Assistance programs. These manual processes are shown in the Sacramento County System Flow Diagram. Specifically relating to financial management, Sacramento County manually accounts for the child's income, determines eligibility, reconciles provider payments made to payments authorized, and reconciles payments made with program funding received from the state.

The county also uses two automated systems to support Foster Care and Adoption Assistance programs financial management functions. These systems are WCDS and COMPASS—the Sacramento County general ledger system.

Welfare Case Data System (WCDS)

Sacramento County DHA utilizes WCDS to record eligibility and placement rate information. Case planning notes, such as special treatment needs, are entered into the client's case file in WCDS. Based on the information in the client's case file, WCDS calculates the primary care provider payment. Caseworkers also use WCDS to record case overpayments and underpayments and to issue underpayments.

The Sacramento County Office of Communication and Information Technology (OCIT) uses WCDS to print provider payments and underpayments and sends the warrants to the County Auditor/Controller.

WCDS produces the foster care payroll that is utilized to prepare aid claims, reconcile payments authorized with payments made, and reconcile payments made with funding received from the state. WCDS interfaces with COMPASS to transfer an electronic payment file that contains specific warrant information.

Sacramento County plans to replace WCDS with the CalWIN system.

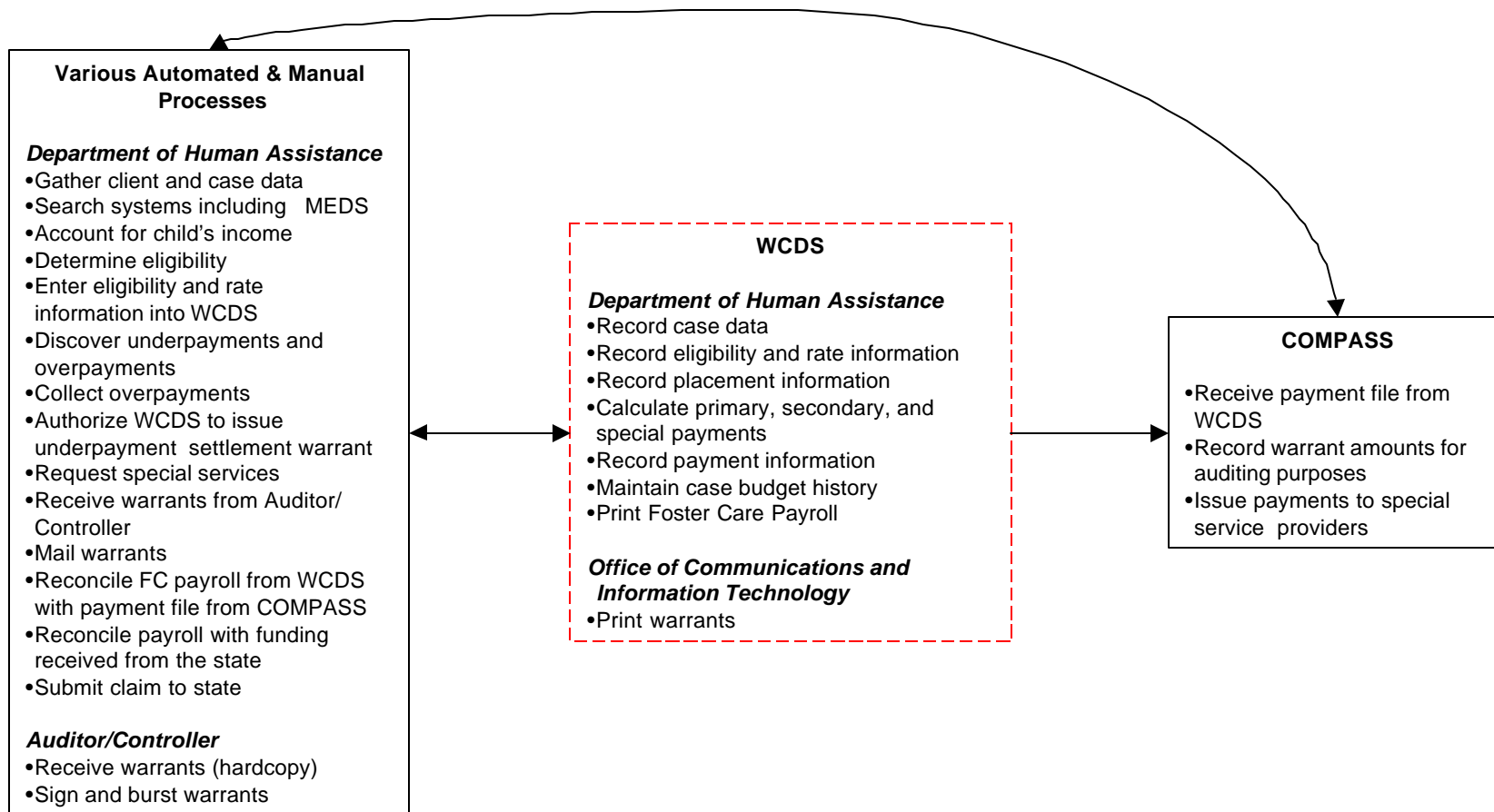
COMPASS

WCDS interfaces with COMPASS to transfer the payment file that contains warrant number and amount. This information is stored in COMPASS for auditing purposes.

System Interfaces

The following system flow diagram shows how the above systems interface and some of the specific functions contained within each system.

SACRAMENTO COUNTY SYSTEM FLOW DIAGRAM



Dashed borders indicate a system that CalWIN plans to replace.

SAN DIEGO COUNTY

I. Background

Two departments are involved in the processes that support the financial management of San Diego County's Foster Care and Adoption Assistance programs. The San Diego County Health and Human Services Agency (HHSA) manages the Foster Care and Adoption Assistance programs and the Auditor/Controller records program payments.

The HHSA administers the programs, researches individual cases, gathers case data—including child's income information, provides program services, authorizes and issues provider payments, reconciles program expenditures with the state allotment of Title IV-B and Title IV-E funding, and submits program funding claims to the state. San Diego County utilizes WCDS, CWS/CMS, and several manual processes to perform Foster Care and Adoption Assistance programs financial management functions.

Although the HHSA issues payments through WCDS, the San Diego County Auditor/Controller records specific payment authorization in the Auditor/Controller's system, ARMS. The Auditor/Controller uses information from ARMS to balance all county accounts.

II. Current System Description

Welfare Case Data System (WCDS)

WCDS maintains a record of basic case data for each client. The case data is received from an interface with the CWS/CMS system. Eligibility workers expand the client file by manually inputting eligibility, placement, rate, and payment information. Each month, WCDS automatically prints the primary provider payment based on this

information. However, these warrants are not released to the provider until the eligibility worker receives a payment voucher from the provider, completes a county mandated form (Form 08-40), and forwards the 08-40 to the HHSA Fiscal Unit. At that point, the Fiscal Unit can release the warrant.

WCDS also issues secondary care, special care, AAP payments based on information entered by the eligibility worker. These payments can be immediately released to the provider.

An electronic payment file that contains basic payment information is sent to the Auditor/Controller.

WCDS prints the 607 report, which is used to manually reconcile authorized program expenditures with Title IV-E and Title IV-B funding received from the state.

San Diego County is a member of the WCDS consortium and currently uses the WCDS system. Currently, HHSA is uncertain if it will completely replace its use of the WCDS system with CalWIN.

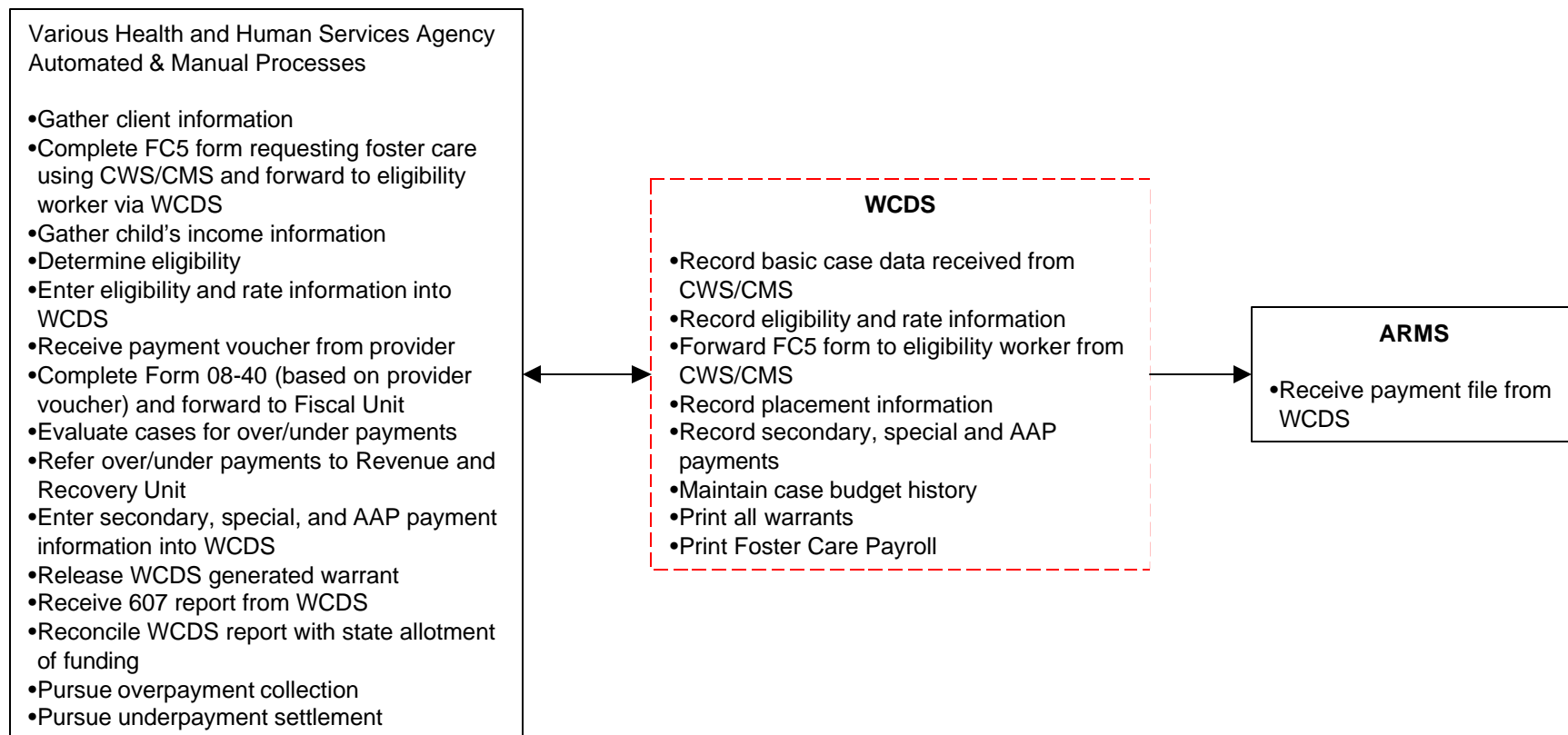
ARMS

The ARMS system is owned and operated by the San Diego County Auditor/Controller. The Auditor/Controller utilizes ARMS to issue warrants for county programs. However, Foster Care and Adoption Assistance program warrants are printed through WCDS. WCDS interfaces with ARMS to transmit warrant information.

System Interfaces

The following system flow diagram shows how the above systems interface and some of the specific functions contained within each system.

SAN DIEGO COUNTY SYSTEM FLOW DIAGRAM



Dashed borders indicate a system that CalWIN plans to replace.

SAN FRANCISCO COUNTY

I. Background

This section provides an overview of the County of San Francisco's child welfare services organization and the systems used to support Foster Care and Adoption Assistance programs. San Francisco County is one of the CalWIN consortium counties.

Two primary departments are involved in the service delivery and financial management aspects of Foster Care and Adoption Assistance programs in San Francisco County. The Department of Human Services (DHS) provides employment services, emergency financial assistance, and social services to residents of San Francisco. Within DHS, the Family and Children's Services division (FCS) determines eligibility, manages cases, calculates benefits, and provides associated services to Foster Care and Adoption Assistance clients. FCS also manages the claims process to the state.

FCS provides payment data files to the City Controller, which then produces checks for Foster Care and Adoption Assistance providers and monitors when checks are cashed.

II. Current System Descriptions

FCS and the City Controller use several information technology systems to support the financial aspects of San Francisco County's Foster Care and Adoption Assistance programs. These systems include the:

- Welfare Case Data System;
- Financial Accounting Management Information System;
- On-Line Client Index; and the
- Collection Management Activity System.

The following provides a more complete description of each system.

Welfare Case Data System (WCDS)

In San Francisco County, the WCDS is operated by DHS and supports case management, payments, fiscal accounting interfaces to several systems, and reporting. The system operates on a mainframe with workers making entries on dumb terminals or personal computers. The system produces automated correspondence including notices of action and periodic income reporting forms for client input. The system also produces vendor vouchers to verify payments and a variety of reports, including management, caseload movement, fiscal, claiming, and ad-hoc reports.

WCDS supports electronic interfaces with a number of other systems. It interfaces with the City Controller's Financial Accounting Management Information System (FAMIS) to produce checks and receive check status information. In addition, WCDS provides case information to the on-line client index. The system also passes claim information to the District Attorney's Family Support Bureau, Computer Assisted Support Enforcement System (CASES) and accepts disregard and pass on child support information¹ from CASES. WCDS also shares update and reconciliation information with the Medi-Cal Eligibility Data System (MEDS). Finally, WCDS passes information to the Collection Management Activity System (CMAS) to support billing and collection activities.

San Francisco intends to replace WCDS with the CalWIN system..

¹ A disregard payment is a portion of a child support payment -- not to exceed \$50 -- sent directly to the recipient in addition to their aid grant. The amount does not constitute income and is not used to determine the grand amount. A pass-on occurs when the amount of current support collected by the Title IV-D agency exceeds the current aid paid to the TANF/CalWORKS family. In that case, the aid is passed on to the family. For Foster Care cases, the excess is paid to the Title IV-A agency, which puts the funds into a trust account payable to the foster child at age 18 or spent at the direction of a child welfare worker for the benefit of the foster child.

Financial Accounting Management Information System (FAMIS)

On a daily and monthly basis, WCDS sends payment information FAMIS. FAMIS notifies WCDS when checks are cashed, stopped, or cancelled. FAMIS also begins an automated cancellation and claim reversal process when checks are outstanding longer than six months. San Francisco County does not issue warrants. Instead, the County produces either system- or hand-issued checks based on payment data provided by WCDS.

On-line Client Index

Owned by DHS, the on-line client index interfaces with WCDS and CWS/CMS to facilitate name, social security, and case number inquiries and provide access to a 12-month history of case and person activity as well as aid information. The client index also stores six months of financial transaction detail for each client. San Francisco intends to replace the client index with the CalWIN system.

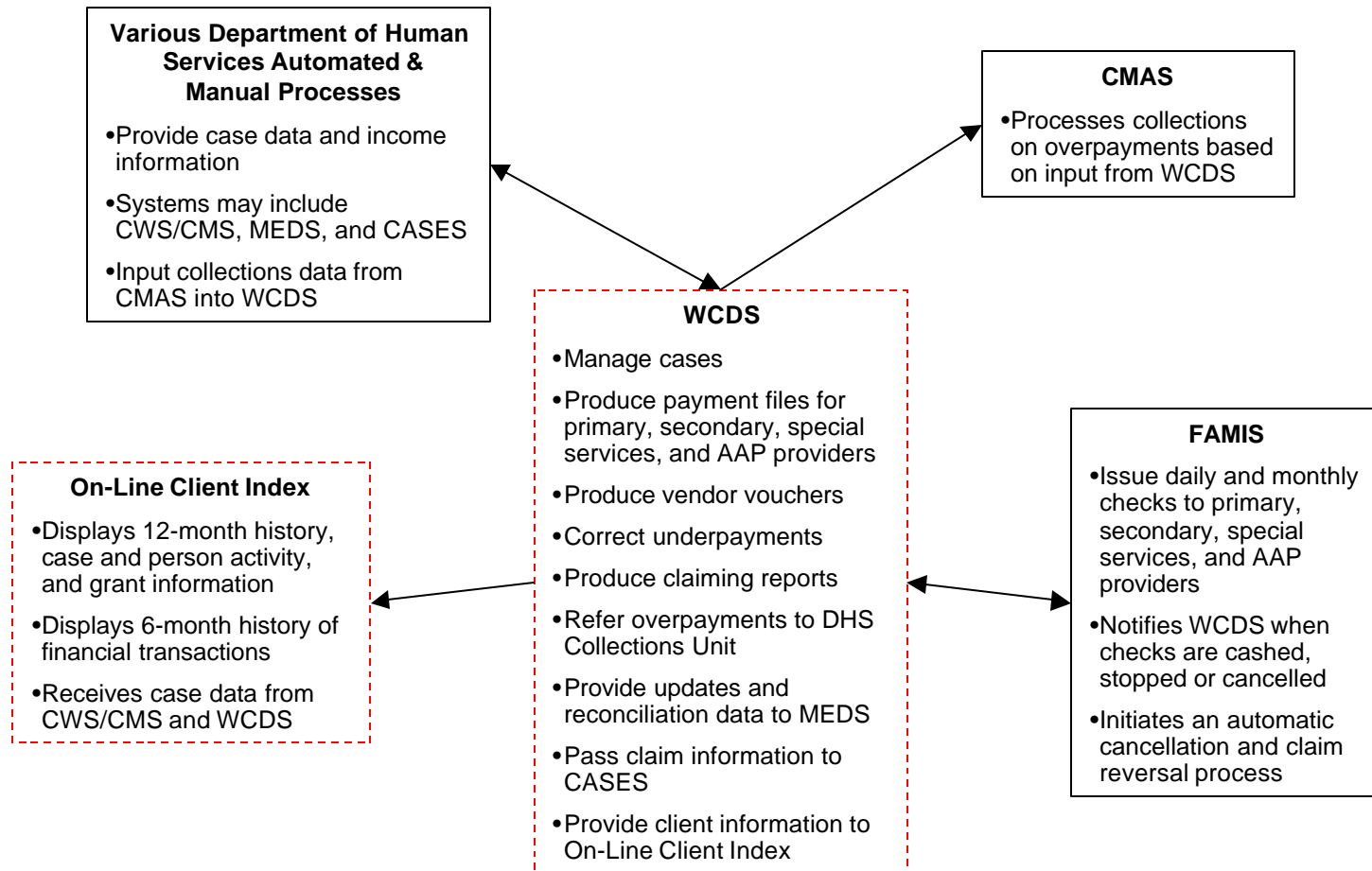
Collection Management Activities System (CMAS)

CMAS is an overpayment collection billing and accounting system. It receives overpayment data from WCDS.

System Interfaces

The following system flow diagram shows how the above systems interface and some of the specific functions contained within each system.

SAN FRANCISCO COUNTY SYSTEM FLOW DIAGRAM



Dashed borders indicate a system that CalWIN plans to replace.

SAN LUIS OBISPO COUNTY

I. Background

The Foster Care and Adoption Assistance programs in San Luis Obispo County are administered by the Department of Social Services (DSS). The DSS interacts with the Auditor/Controller to record payments issued to providers. San Luis Obispo County is a member of the WCDS consortium and currently uses the WCDS system.

The DSS manages the programs, gathers client data, manages child's income, provides program services, and issues provider payments. The DSS also reconciles Foster Care and Adoption Assistance program expenditures with the Title IV funding allotment received from the state. The reconciliation is used to prepare a state funding claim that is submitted to the state each month.

San Luis Obispo County utilizes WCDS, an automated collection system, and several manual processes to perform Foster Care and Adoption Assistance program financial management functions.

Although payments are issued by WCDS, the DSS interacts with the San Luis Obispo County Auditor/Controller to record specific payment authorization in the Auditor/Controller's Financial Management System (FMS). The Auditor/Controller actually mails the payments to the providers.

When surveyed, San Luis Obispo County indicated that benefit issuance and tracking processes were currently being reviewed and the process could significantly change in the future.

II. Current System Description

Welfare Case Data System (WCDS)

WCDS maintains a record of basic case data for each client. The case data is manually compiled by the eligibility worker and entered in WCDS. The client file includes eligibility, placement, rate, and payment information. Each month, WCDS automatically prints the primary provider payment based on this information.

WCDS also issues secondary care, special care, AAP payments based on information provided by the social worker and entered into the system by the eligibility worker. Finally, an electronic payment file that contains basic payment information is sent to the Auditor/Controller.

The DSS plans to discontinue the use of WCDS when the consortium replacement system, CalWIN, is implemented.

Financial Management System (FMS)

FMS is a mainframe system owned and operated by the San Luis Obispo County Auditor/Controller. The Auditor/Controller utilizes FMS to issue warrants for county programs. However, Foster Care and Adoption Assistance program warrants are printed through WCDS. WCDS interfaces with FMS to transmit warrant information. FMS then generates monthly disbursement and expenditure reports.

The FAMIS reports are used by DSS in reconciling Title IV program expenditures with funding received from the state.

Ventura Automated Collection System (VACS)

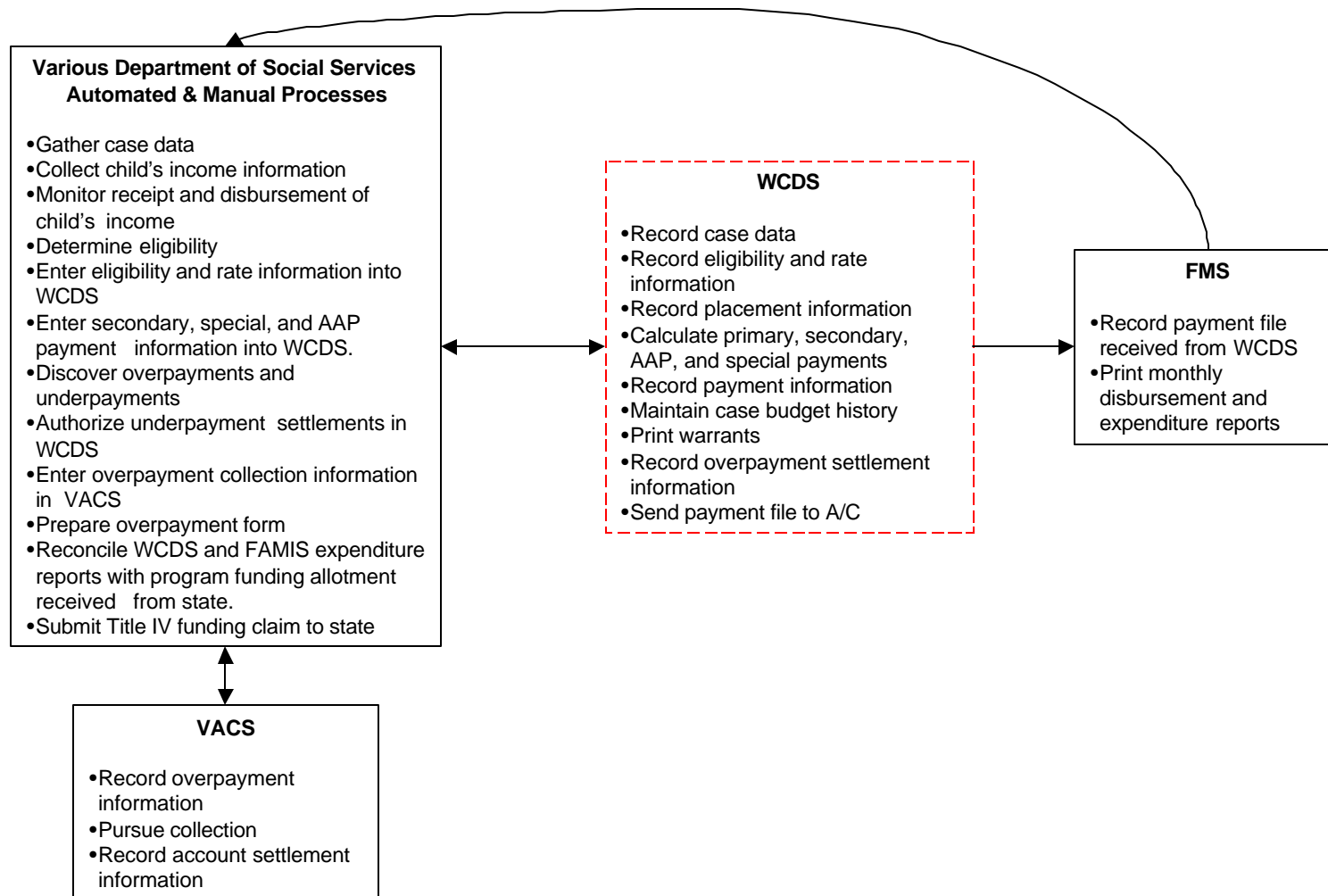
VACS is an automated collection and billing system utilized by San Luis Obispo County to track overpayment and overissuance collections. Information regarding

overpayments and overissuances is manually entered into the system. The DSS is currently working on establishing an interface between WCDS and VACS.

System Interfaces

The following system flow diagram shows how the above systems interface and some of the specific functions contained within each system.

SAN LUIS OBISPO COUNTY SYSTEM FLOW DIAGRAM



Dashed borders indicate a system that CalWIN plans to replace.

SAN MATEO COUNTY

I. Background

Three primary departments manage the processes that support the financial management of the Foster Care and Adoption Assistance programs in San Mateo County. The HSA provides employment services, emergency financial assistance, and social services to residents of San Mateo County. HSA determines eligibility, manages cases, and calculates and issues benefits related to Foster Care and Adoption Assistance services. Finally, HSA prepares, reconciles, and submits aid claims to the state.

The County Controller, which manages various financial functions for County departments and special districts and maintains the County's general ledger, provides data related to redemption of warrants to HSA.

Finally, the Revenue Services Unit of Employee and Public Services collects overpayments to Foster Care and Adoption Assistance providers.

II. Current System Descriptions

HSA, the Controller and the Revenue Services unit use two information technology systems to support the financial management of San Mateo County's Foster Care and Adoption Assistance programs. These systems are the:

- WCDS; and the
- IFAS.

The following provides a more complete description of each system.

Welfare Case Data System (WCDS)

In San Mateo County, the WCDS supports case management, payments, interfaces to the County Controller's IFAS, and reporting. HSA uses WCDS to record SSI/SSA and child support income received on behalf of children. In addition, after manually calculating benefit payments, HSA uses WCDS to issue warrants for primary care, special payments, and Adoption Assistance Program payments. HSA also uses WCDS to generate Foster Care and Adoption Assistance payrolls to support the monthly claiming and reconciliation process.

WCDS interfaces with the Controller's IFAS system to post WCDS transactions to the appropriate organization and account in the IFAS system. In San Mateo County, WCDS is operated by HSA.

San Mateo County intends to replace WCDS with the CalWIN system.

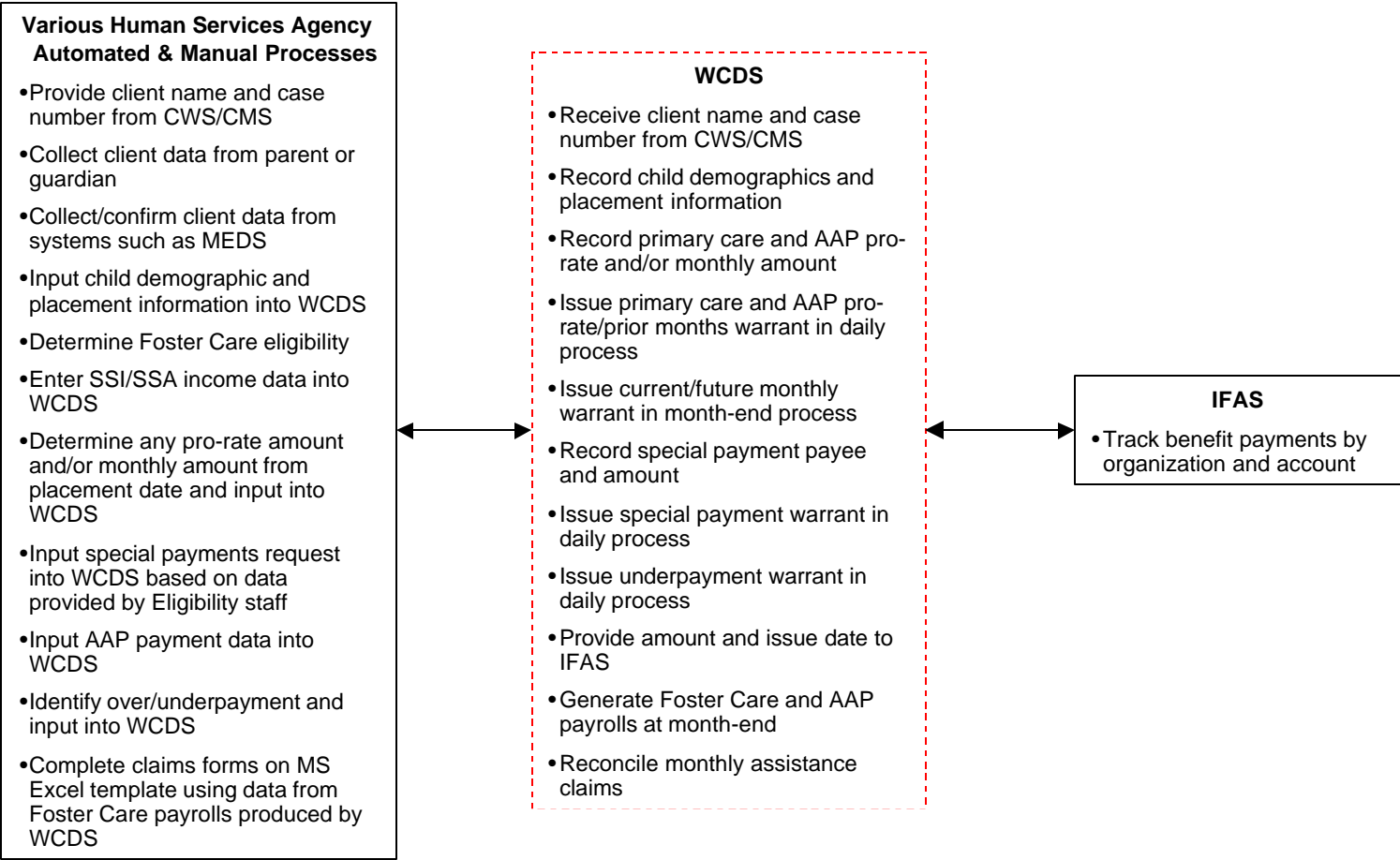
Integrated Fund Accounting System (IFAS)

The IFAS tracks benefit payments by organization and account. On a daily and monthly basis, the IFAS captures warrant information from WCDS. Overpayment collections, which are processed by the County's Employee and Public Services Department, are recorded in IFAS as a credit to the appropriate organization and account. IFAS is owned and operated by the San Mateo County Controller.

System Interfaces

The following system flow diagram shows how the above systems interface and some of the specific functions contained within each system.

SAN MATEO COUNTY SYSTEM FLOW DIAGRAM



Dashed borders indicate a system that CalWIN plans to replace.

SANTA BARBARA COUNTY

I. Background

Two Santa Barbara County departments perform processes that support the financial management functions of the Title IV-B and Title IV-E Foster Care and Adoption Assistance programs. The Santa Barbara County Department of Social Services (DSS) administers the programs and the Auditor/Controller issues program payments.

The DSS collects client information, manages the receipt and disbursement of child's income, provides program services, authorizes provider payments, reconciles program expenditures with the state allotment of Title IV-B and Title IV-E funding, and submits funding claims to the state. DSS manually audits the client cases to discover underpayments and overpayments. Overpayments are manually collected and the county Auditor/Controller issues underpayment settlement warrants. Although some manual processes are performed, the DSS primarily utilizes WCDS for Foster Care and Adoption Assistance program financial management functions. Santa Barbara County does not utilize WCDS for payment issuance.

The DSS interacts with the Santa Barbara County Auditor/Controller to record specific payment authorization in the Auditor/Controller's County Financial System. The County Financial System (CFS) actually issues the payment. An independent contractor mails the payments to the providers.

II. Current System Description

Welfare Case Data System (WCDS)

Each month, WCDS automatically calculates the primary provider payment based on eligibility and placement rate information entered by the caseworker. An electronic payment file that contains basic payment information is sent to CFS.

Overpayments and underpayments are discovered by DSS staff through a manual audit process. Underpayment settlement warrants are authorized by DSS staff through an entry in WCDS. The underpayment information is sent to the CFS where the warrant is issued. Overpayment collection is pursued manually by DSS staff.

Secondary care, special care, and AAP payments are authorized through WCDS based on information provide by DSS staff.

WCDS expenditure authorization reports are manually reconciled with reports from CFS to reconcile the use of Title IV-B and Title IV-E funds. This reconciliation is completed monthly by DSS staff. Overpayments and underpayments are not included in the reconciliation. WCDS prints the Foster Care payroll report that is used to manually reconcile authorized program expenditures with Title IV-E and Title IV-B funding received from the state. DSS then submits the claims to the state monthly.

Santa Barbara County plans to replace the WCDS system with the CalWIN system.

County Financial System (CFS)

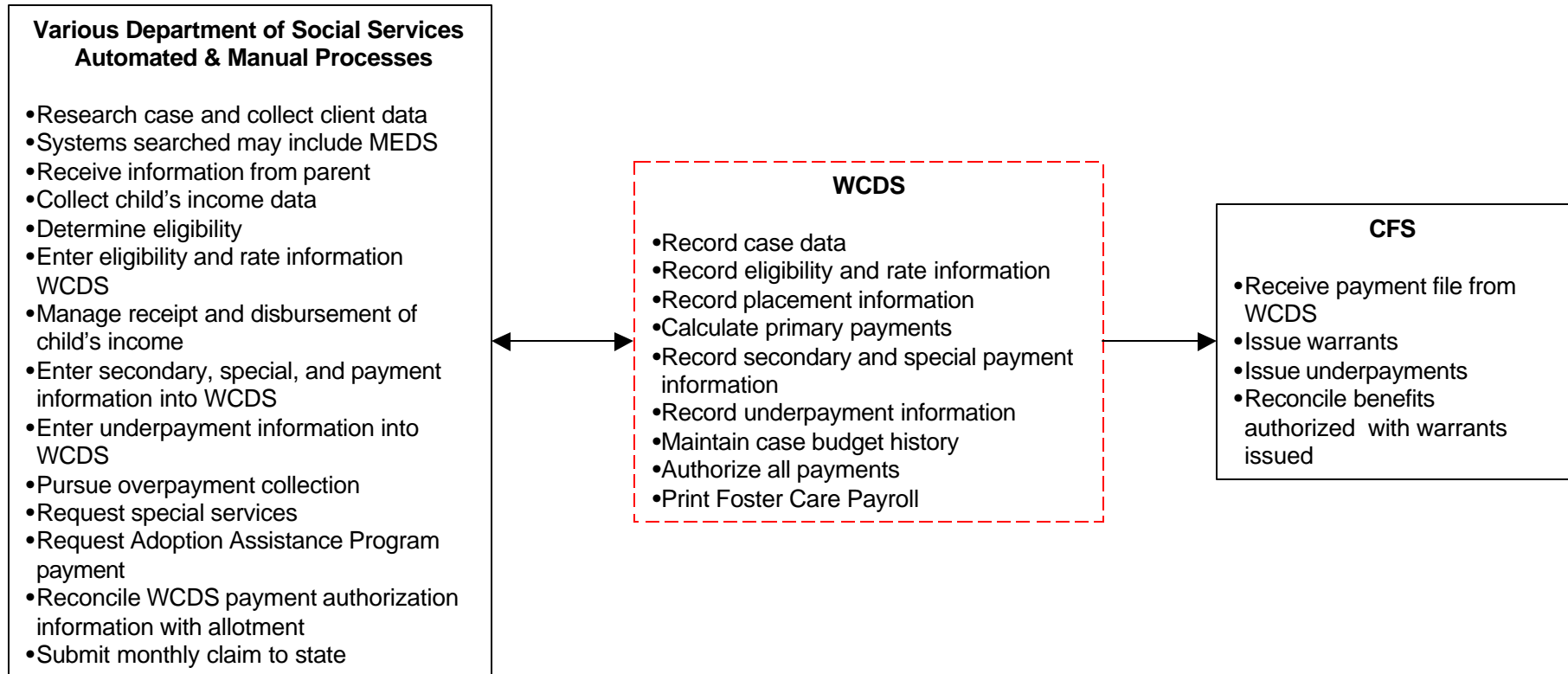
CFS is a PC-based system owned and operated by the Santa Barbara County Auditor/Controller. The Auditor/Controller utilizes CFS to issue Foster Care and Adoption Assistance program warrants. The system shares a nightly batch interface with

WCDS to receive payment information and authorization. In addition, the system reconciles benefits issued with those authorized and paid.

System Interfaces

The following system flow diagram shows how the above systems interface and some of the specific functions contained within each system.

SANTA BARBARA COUNTY SYSTEM FLOW DIAGRAM



Dashed borders indicate a system that CalWIN plans to replace.

SANTA CLARA COUNTY

I. Background

Two primary departments manage the processes that support the financial management of the Foster Care and Adoption Assistance programs in Santa Clara County. The Social Services Agency (SSA) provides employment services, emergency financial assistance, and social services to residents of Santa Clara County. SSA determines eligibility, manages cases, calculates and issues benefits, and provides associated services to welfare, Foster Care and Adoption clients. SSA also processes and collects SSI/SSA, child support, and death benefits as well as overpayments related to Foster Care and Adoptions Assistance services. Finally, SSA prepares, reconciles, and submits aid claims to the state.

The county Treasurer-Controller manages various financial functions for county departments and special districts and maintains the county's general ledger.

II. Current System Descriptions

SSA and the Treasurer-Controller use three information technology systems to support the financial management of Santa Clara County's Foster Care and Adoption Assistance programs. These systems are the:

- Welfare Case Data System;
- Standard Accounting and Reporting System; and
- Ventura Automated Collections System.

The following provides a more complete description of each system.

Welfare Case Data System (WCDS)

The Welfare Case Data System (WCDS) supports the Foster Care, Adoptions, CalWORKS, Food Stamps, Medi-Cal, Cash Assistance Program for Immigrants, and General Relief programs in Santa Clara County. WCDS supports case management, payments, reporting, and interfaces to the county Treasurer-Controller's Standard Accounting and Reporting System (STARS). SSA uses WCDS to produce vendor vouchers and a variety of fiscal, management, claiming, and caseload reports. In addition, WCDS receives and records data on payments made by the Automated Remote Warrant (ARW) system, which issues immediate need benefits. WCDS also records children's income from sources such as SSI/SSA, child support, and death benefits. Child support information is extracted from the District Attorney's Computer Assisted Support Enforcement System (CASES). Finally, WCDS interfaces with the Department of Health Services Medi-Cal Eligibility Data System (MEDS) to exchange Medi-Cal benefits data.

WCDS sends payment information such as amount paid, warrant number, date issued to Santa Clara County's bank so the bank can encumber the appropriate funds and have data against which to record warrant redemption information. When checks are redeemed, the bank sends an update file to WCDS to allow reconciliation of checks issued with checks redeemed. All non-issued checks, expired checks, and lost/stolen checks are cancelled through the WCDS system. In addition, WCDS sends total amounts expended data to STARS to record against the county's general ledger.

SSA operates WCDS. Santa Clara County intends to replace WCDS with the CalWIN system.

Standard Accounting and Reporting System (STARS)

The Standard Accounting and Reporting System (STARS) captures aggregate expenditure information from WCDS. STARS is owned and operated by the Treasurer-Controller.

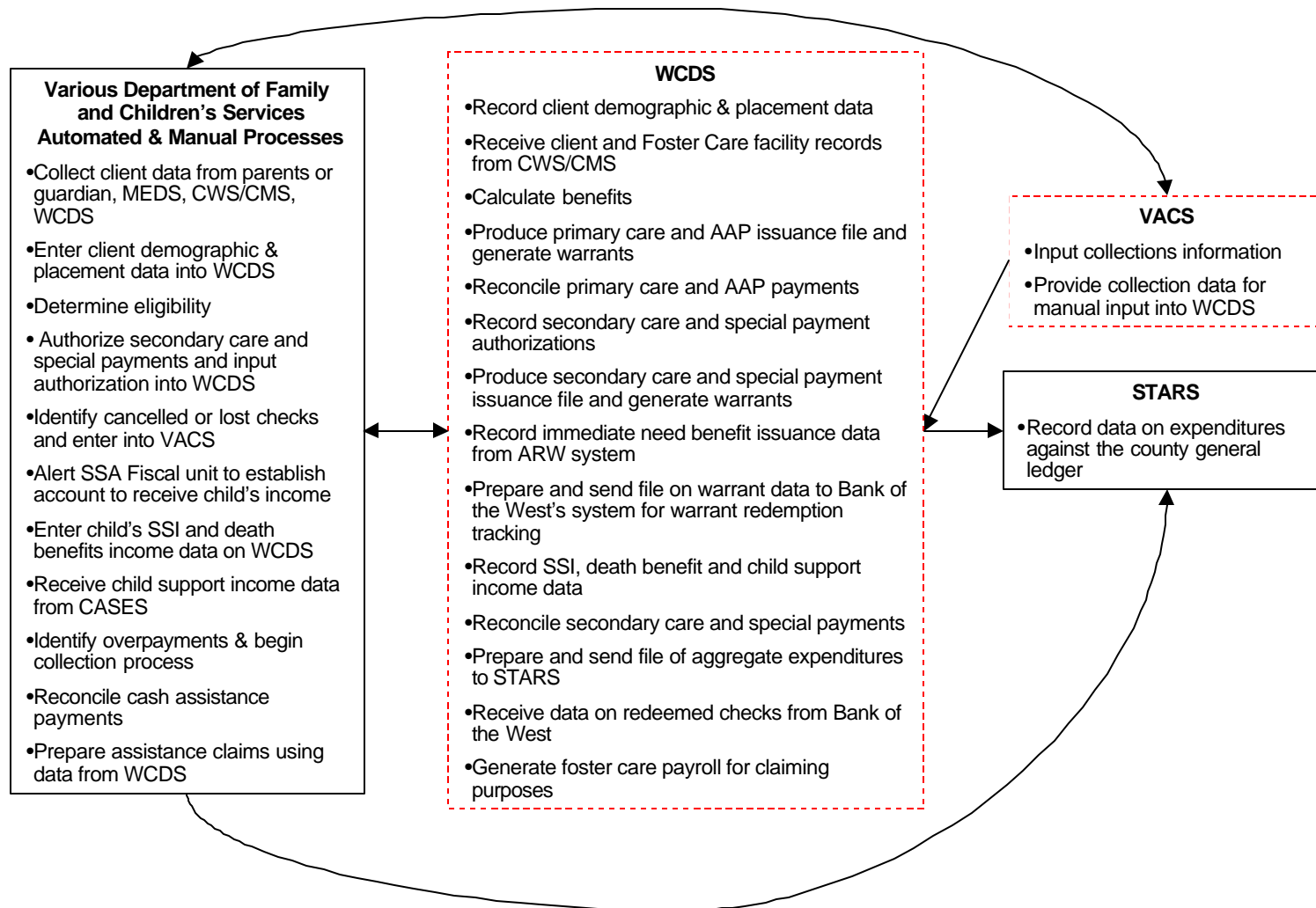
Ventura Automated Collections System (VACS)

VACS captures overpayment and related collection information. Using this data, VACS issues monthly statements and records payments received. SSA also uses VACS to identify funds collected. The collections information is manually adjusted from the payment information provided by WCDS. VACS is owned and operated by the Administrative Support Bureau of the SSA.

System Interfaces

The following system flow diagram shows how the above systems interface and some of the specific functions contained within each system.

SANTA CLARA COUNTY SYSTEM FLOW DIAGRAM



Dashed borders indicate a system that CalWIN plans to replace.

SANTA CRUZ COUNTY

I. Background

Santa Cruz County Foster Care and Adoption Assistance program financial management functions are performed by the Santa Cruz County Human Resources Agency (Agency) in conjunction with the County Auditor/Controller.

The Agency administers the programs, provides program services, and authorizes and prepares the provider payments. In addition, the Agency licenses foster homes and family day care homes. Although some manual processes are performed, the Agency primarily utilizes WCDS for Foster Care and Adoption Assistance program financial management functions. Caseworkers use a manual process to determine the child's eligibility for foster care assistance and to look up the provider rate information on a chart or in a handbook. Then client data and the payment amount are entered into WCDS and the system prints warrants and records payment history.

The Agency interacts with the Santa Cruz County Auditor/Controller to record specific payment authorization in the Auditor/Controller's Financial Accounting Management Information System (FAMIS).

II. Current System Description

Welfare Case Data System (WCDS)

Each month, WCDS automatically prints the warrants for the primary provider payment based on the payment amount entered into WCDS by the caseworker. The primary care provider payments (warrants) are printed by WCDS and an electronic payment file that contains basic payment information is sent to FAMIS. The Agency fiscal staff manually collects the warrants and mails them to the providers.

Overpayments and underpayments are discovered by Agency staff through a manual audit process. However, underpayment settlement warrants are issued by WCDS if the eligibility worker enters a request to issue into WCDS. Once overpayments are settled (repayment received by the county or overpayment account designated “not collectible” by the county), WCDS is updated with the information. The Agency also utilizes an Excel spreadsheet to track overpayments and underpayments.

Secondary care and special care payments are issued through WCDS based on information provide by Agency staff. The Agency also utilizes WCDS payment functionality to issue Adoption Assistance Program payments. These payments are issued based on a manual request from the Foster Care eligibility worker. These payments, like all WCDS payments, can be issued monthly or as needed.

WCDS program expenditure reports are manually reconciled with reports from FAMIS to reconcile the use of Title IV-B and Title IV-E funds. This reconciliation is completed monthly by Agency staff. Overpayments and underpayments are not included in the reconciliation. Santa Cruz County expects to replace WCDS with the CalWIN system.

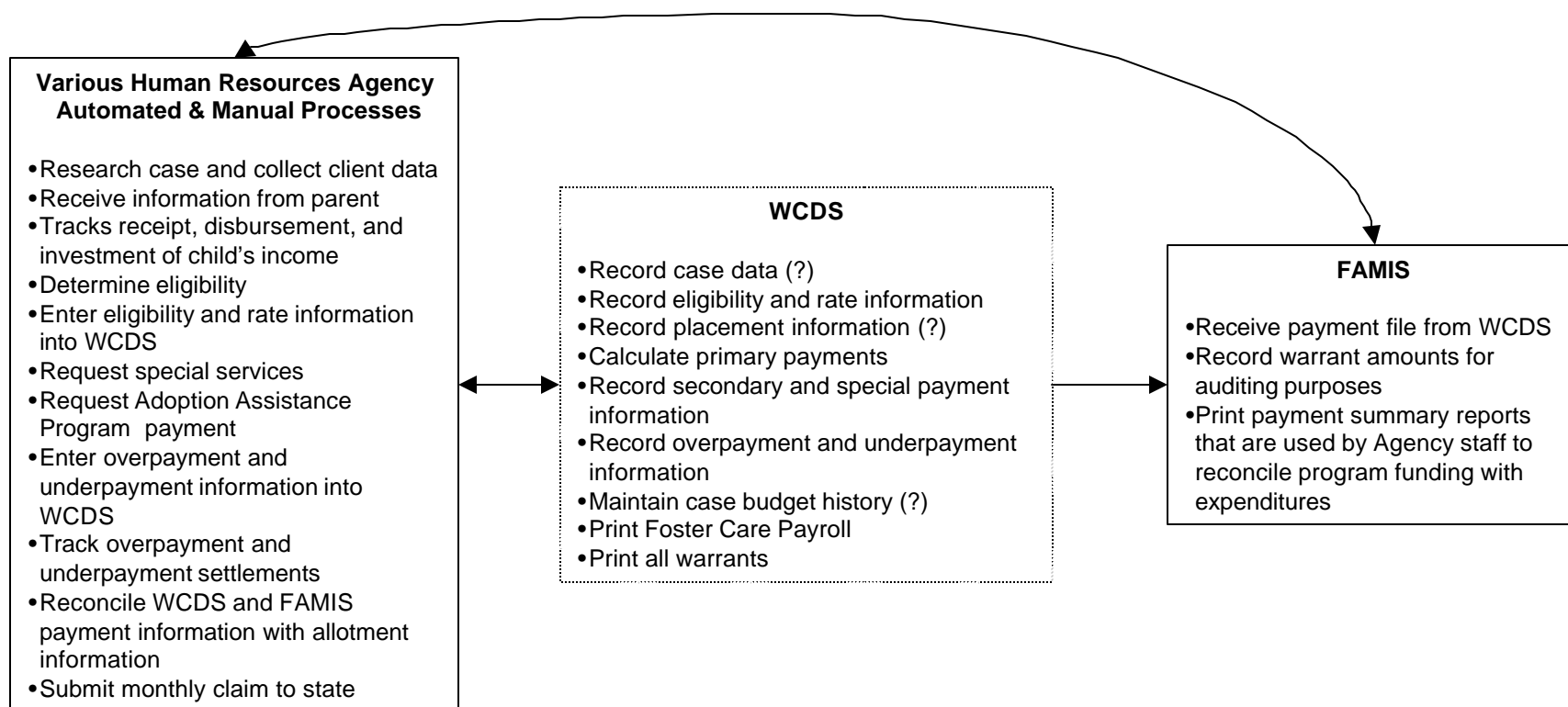
Financial Accounting Management Information System (FAMIS)

FAMIS is a mainframe system owned and operated by the Santa Cruz County Auditor/Controller. The Auditor/Controller utilizes FAMIS to issue county warrants. However, as indicated previously the Foster Care and Adoption Assistance programs issue warrants through WCDS. WCDS provides payment information to FAMIS through a nightly batch process. FAMIS records the payment information and workers print reports from FAMIS to reconcile program expenditures with the county’s fund allotment from the state.

System Interfaces

The following system flow diagram shows how the above systems interface and some of the specific functions contained within each system.

SANTA CRUZ COUNTY SYSTEM FLOW DIAGRAM



Dashed borders indicate a system that CalWIN plans to replace.

SOLANO COUNTY

I. Background

Two primary departments manage the processes that support the financial management of the Foster Care and Adoption Assistance programs in Solano County. The Health and Social Services Department (HSS) provides employment services, emergency financial assistance, and social services to residents of Solano County. HSS determines eligibility; manages cases; calculates benefits; collects child support, SSI/SSA and death benefits; and provides associated services to welfare, foster care and adoption clients. HSS works with a contractor, Affiliated Computer Services (ACS), to generate warrants to Foster Care and Adoption Assistance providers. HSS also processes overpayments related to Foster Care and Adoptions Assistance services. Finally, HSS prepares, reconciles and submits aid claims to the state.

The County Auditor/Controller, which manages various financial functions for County departments and special districts and maintains the County's general ledger, provides HSS with data related to redemption of warrants.

II. Current System Descriptions

Three information technology systems support the financial management of Solano County's Foster Care and Adoption Assistance programs. These systems are the:

- Welfare Case Data System;
- Integrated Fund Accounting System; and the
- Ventura Automated Collections System.

The following provides a more complete description of each system.

Welfare Case Data System (WCDS)

In Solano County, the Welfare Case Data System (WCDS) supports case management, payments, interfaces to the County Auditor/Controller's Integrated Fund Accounting System (IFAS), and reporting. The system operates on a mainframe with workers making entries on dumb terminals or personal computers. HSS uses the system to produce vendor vouchers for payment verification and a variety of fiscal, management, claiming, and caseload reports.

WCDS interfaces with the Auditor/Controller's IFAS system to provide the warrant number, warrant amount, issue date, and case information needed to reconcile warrants issued with warrants cashed. WCDS is owned and operated by HSS.

Solano County intends to replace WCDS with the CalWIN system.

Integrated Fund Accounting System (IFAS)

On a daily and monthly basis, the Integrated Fund Accounting System (IFAS) captures warrant information from WCDS. When warrants are redeemed, Auditor/Controller staff input the redemption information into IFAS to allow reconciliation of warrants issued with warrants redeemed. HSS staff have an on-line connection to IFAS to check the status of warrants. IFAS is owned and operated by the Solano County Auditor/Controller.

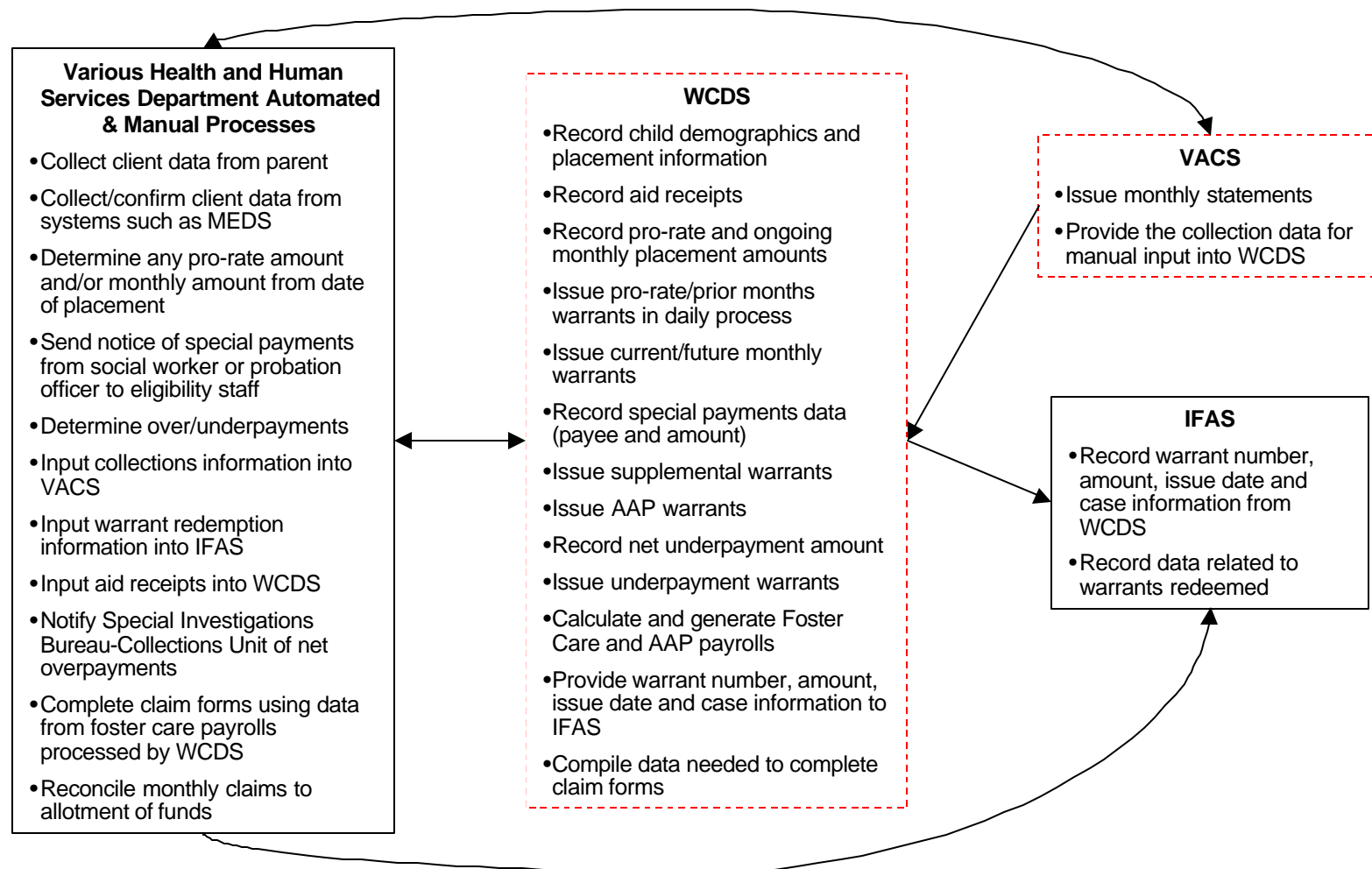
Ventura Automated Collections System (VACS)

The Ventura Automated Collections System captures overpayment and related collection information. Using this data, VACS issues monthly statements and records payments received. HSS also uses VACS to identify funds collected and to update WCDS to reconcile aid claims. VACS is owned and operated by the Collections Unit of the HSS Special Investigation Bureau.

System Interfaces

The following system flow diagram shows how the above systems interface and some of the specific functions contained within each system.

SOLANO COUNTY SYSTEM FLOW DIAGRAM



Dashed borders indicate a system that CalWIN plans to replace.

SONOMA COUNTY

I. Background

The Human Services Department (HSD) and the Auditor/Controller administer and issue payments for the Foster Care and Adoption Assistance programs in Sonoma County.

The HSD administers the programs, provides supportive services, gathers case data—including child's income information, authorizes provider payments, issues primary care provider and AAP payments, reconciles program expenditures with the state allotment of Title IV-B and Title IV-E funding, and submits monthly claims to the state. The HSD utilizes two automated systems to support Foster Care and Adoption Assistance programs financial management functions. These systems are WCDS and VACS. However, the primary functions are located with WCDS.

The HSD interacts with the Sonoma County Auditor/Controller to issue secondary and special care payments. The Auditor/Controller's Financial Accounting Management Information System (FAMIS) issues these payments based on information sent to it from the Fiscal Unit in HSD.

II. Current System Description

Welfare Case Data System (WCDS)

HSD eligibility workers enter client income, eligibility, placement, and rate information into WCDS. WCDS is used to send an initial payment notice to foster care providers when cases are opened. Each month thereafter, WCDS automatically calculates and issues the primary provider payment based on the case information. HSD utilizes the WCDS payment functionality to issue payments for the AAP as well.

These payments are made based on information the eligibility worker receives from the client's parent and social worker and enters into WCDS. Finally, WCDS prints the Foster Care Payroll report that the county uses to reconcile program expenditures with Title IV-B and Title IV-E program funding received from the state. The reconciled claim is submitted to the state.

Overpayments and underpayments are discovered by HSD eligibility staff through manual processes such as, e-mail from a social worker, a telephone call, or audit of placement forms. Underpayment settlement warrants are authorized by HSD staff through an entry in WCDS. Overpayment collection information is transmitted from WCDS to the HSD Accounting Office.

Sonoma County plans to replace WCDS with the CalWIN system.

Financial Accounting Management Information System (FAMIS)

FAMIS is a mainframe central accounting system used by all county departments for a variety of fiscal functions. The system is owned and operated by the Sonoma County Auditor/Controller.

HSD staff manually key all payment information into FAMIS and FAMIS issues the payments. HSD staff mail the primary care provider payments and the Auditor/Controller mails the secondary and special care payments. The HSD uses expenditure reports prepared from FAMIS to reconcile program funding with the state allotment.

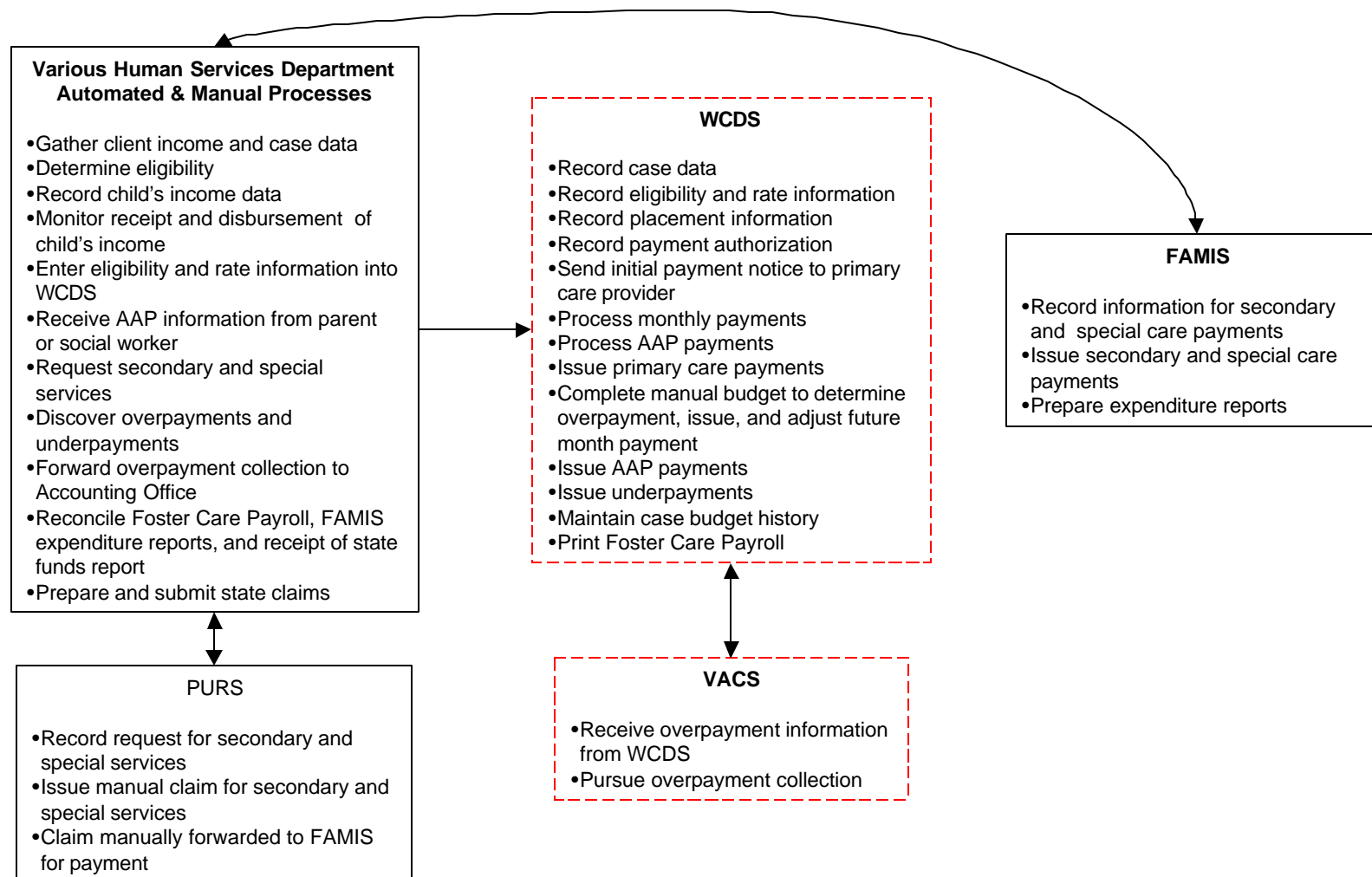
Ventura Automated Collection System (VACS)

VACS is an automated collection and billing system utilized by Sonoma County to track overpayment collections. VACS interfaces with WCDS in a nightly batch process to record collections and settlements. Sonoma County plans to replace VACS with the CalWIN system.

System Interfaces

The following system flow diagram shows how the above systems interface and some of the specific functions contained within each system.

SONOMA COUNTY SYSTEM FLOW DIAGRAM



Dashed borders indicate a system that CalWIN plans to replace.

TULARE COUNTY

I. Background

Two Tulare County departments perform processes that support the financial management functions of the Title IV-B and Title IV-E Foster Care and Adoption Assistance programs. The Tulare County Health and Human Services Agency (HHSA) administers the programs and the Auditor/Controller issues program payments.

The HHSA collects client information, provides program services, receives income on behalf of children, and authorizes provider payments. HHSA manually audits the client cases to discover underpayments and overpayments. Overpayments are manually collected, while the County Auditor/Controller issues underpayment settlement warrants. HHSA also prepares claiming documents for Title IV-E and Title IV-B reimbursement.

The HHSA interacts with the Tulare County Auditor/Controller to record specific payment authorization in the Auditor/Controller's Accounting and Financial Information Network (AFIN).

II. Current System Description

Welfare Case Data System (WCDS)

Tulare County utilizes WCDS to record case data and child eligibility and placement rate information. WCDS calculates the monthly primary care provider amount, authorizes payment for primary and Adoption Assistance Program services, and issues the payment. WCDS also produces reports used to reconcile benefits paid and benefits claimed for Title IV-E and Title IV-B reimbursement.

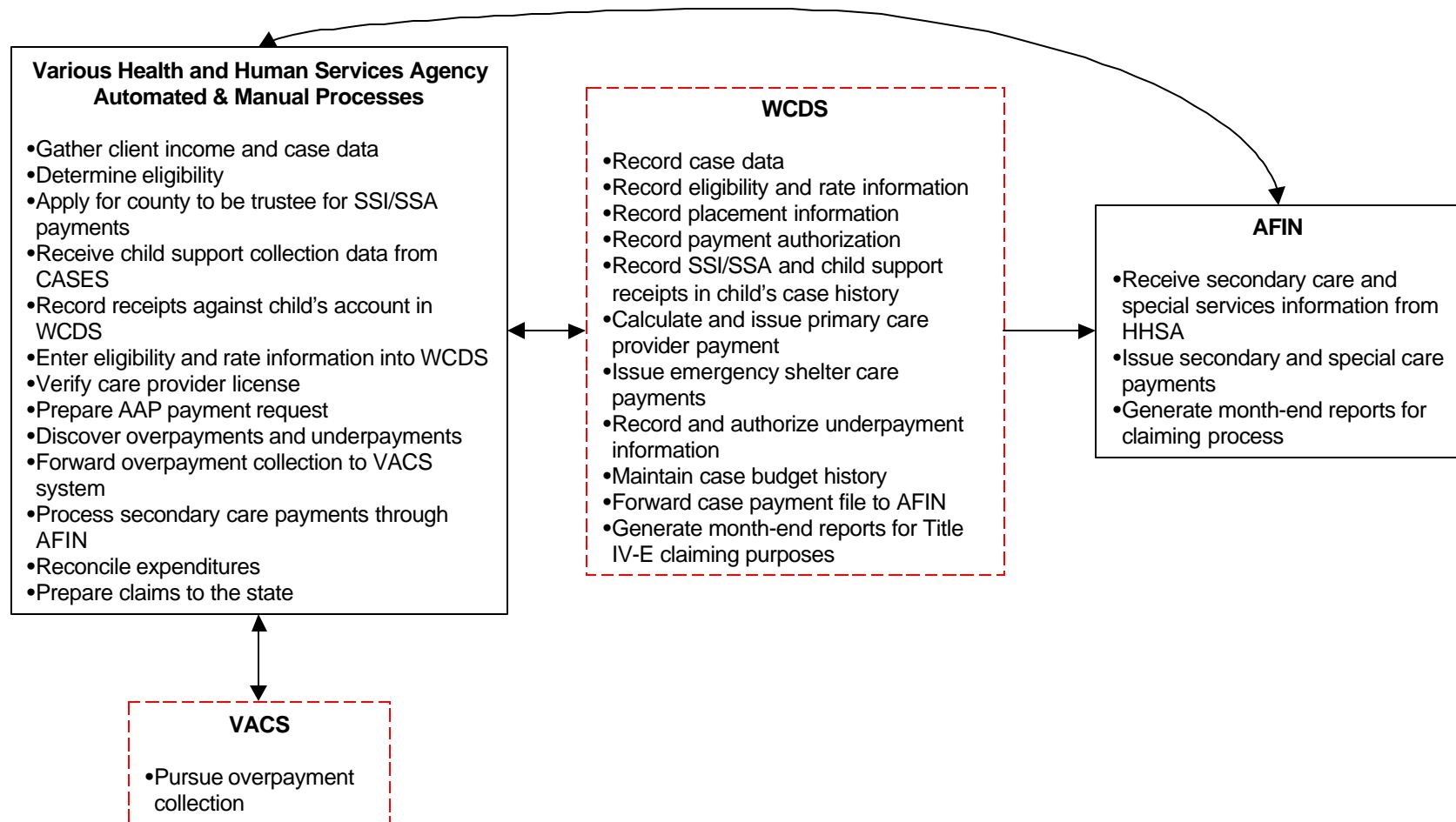
Accounting and Financial Information Network (AFIN)

The Accounting and Financial Information Network (AFIN) is a mainframe system “owned and operated” by the county Auditor/Controller and is used by all county agencies. AFIN issues benefits (payments) for secondary and special care services as well as reconciling benefits issued with those authorized and paid.

System Interfaces

The following system flow diagram shows how the above systems interface and some of the specific functions contained within each system.

TULARE COUNTY SYSTEM FLOW DIAGRAM



Dashed borders indicate a system that CalWIN intends to replace.

VENTURA COUNTY

I. Background

Two primary departments manage the processes that support the financial management of the Foster Care and Adoption Assistance programs in Ventura County. The Human Services Agency (HSA) provides employment services, emergency financial assistance, and social services to residents of Ventura County. HSA determines eligibility; manages cases; calculates and issues benefits; and provides associated services to welfare, foster care, and adoption clients. HSA also processes and collects overpayments related to Foster Care and Adoption Assistance services. Finally, HSA prepares, reconciles and submits aid claims to the state.

The County Auditor/Controller, which manages various financial functions for County departments and special districts and maintains the County's general ledger, provides data related to the redemption of warrants to HSA.

II. Current System Descriptions

HSA and the Auditor/Controller use three information technology systems to support the financial management of Ventura County's Foster Care and Adoption Assistance programs. These systems are the:

- WICAR;
- FMS; and the
- VACS.

The following provides a more complete description of each system.

Welfare Information Computation and Reporting System (WICAR)

WICAR is an IBM mainframe system that supports the CalWORKS, Foster Care, Adoptions, Food Stamps, Medi-Cal, Cash Assistance Program for Immigrants, and

General Relief programs in Ventura County. WICAR supports case management, payments, reporting, and interfaces to the County Auditor/Controller's Financial Management System (FMS). HSA uses the system to produce vendor vouchers for payment verification and a variety of fiscal, management, claiming, and caseload reports. Finally, if a child's income is sent directly to the child's caretaker, it is entered into WICAR as income, and WICAR automatically deducts the income from the foster care payment and issues the remainder to the provider. When the cost of a child's care is more than the child's income, WICAR issues a check to the provider for the entire amount.

When HSA is the payee for a dependent child's income, a trust fund account is maintained for the child. When the cost of a child's care is more than the child's income, WICAR issues a check to the provider for the entire amount. The income amount received for the child is deposited in the trust fund and is then used to abate that portion of the assistance payment. This procedure makes it possible to pay the provider with one check, instead of two (i.e. one from the trust fund and the remainder from WICAR).

WICAR sends pertinent payment details such as case number, payee, check number, date issued, and benefit month to FMS for check reconciliation. The system also interfaces with MEDS to exchange Medi-Cal benefits data. WICAR is owned by HSA.

Ventura County intends to replace WICAR with the CalWIN system.

Financial Management System (FMS)

The FMS captures payment information from WICAR. FMS also records requests for payments to secondary care providers and issues associated payments. When checks are redeemed, HSA staff input the redemption information into FMS to allow reconciliation of checks issued with checks redeemed. Checks are assumed to be redeemed in WICAR if they have not been cancelled. All non-issued checks, expired checks, and lost/stolen checks are cancelled through the WICAR system, which sends the information to FMS. FMS is owned and operated by the Ventura County Auditor/Controller.

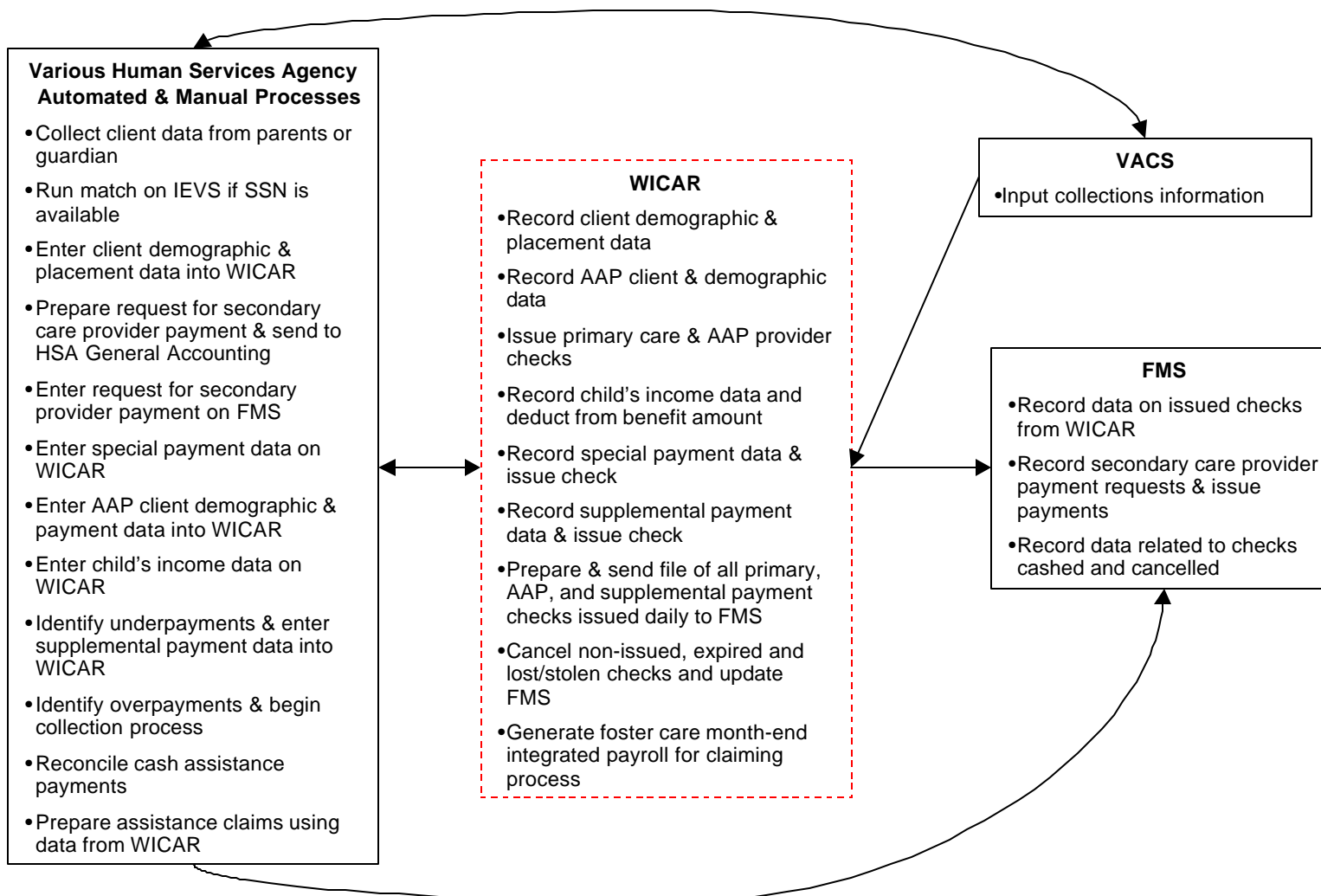
Ventura Automated Collections System (VACS)

VACS captures overpayment and related collection information. Using this data, VACS issues monthly statements and records payments received. HSA also uses VACS to identify funds collected. The collections information is manually adjusted from the payment information provided by the WICAR system. VACS is owned and operated by the Fiscal Collections Unit of the HSA.

System Interfaces

The following system flow diagram shows how the above systems interface and some of the specific functions contained within each system.

VENTURA COUNTY SYSTEM FLOW DIAGRAM



Dashed borders indicate a system that CalWIN plans to replace.

YOLO COUNTY

I. Background

The Department of Employment and Social Services (DESS) manages the Foster Care Program in Yolo County. The Adoption Assistance Program intake and application functions are not performed by Yolo, but the county does issue payments to adoptive parents through WCDS when authorized by the California Department of Social Services.

The DESS gathers foster care parent and child eligibility and income information, provides program services, authorizes provider payments, reconciles program expenditures with the state allotment of Title IV-B and Title IV-E funding, and submits the funding claim to the state. DESS is also responsible for discovering and settling provider overpayments and underpayments. DESS Financial Management staff track the receipt and disbursement of funds that are received on behalf of the child.

Although some manual processes are performed, the DESS primarily utilizes WCDS for Foster Care Program financial management functions. Yolo County also utilizes WCDS for payment issuance.

The DESS interacts with the Yolo County Auditor/Controller to record specific payments in the county general ledger system.

II. Current System Description

Welfare Case Data System (WCDS)

Each month, WCDS issues the primary provider payment based on information entered by the caseworker. WCDS prints the provider payments and DESS mails the warrants to the providers. An electronic payment file that contains basic payment

information is sent to the Auditor/Controller's general ledger system where the payment is recorded.

Overpayments and underpayments are discovered by DESS staff through a manual audit of case files. Underpayment warrants are authorized by DESS staff and printed by WCDS. Overpayment collection is pursued manually by DESS staff.

WCDS expenditure authorization reports are manually reconciled and balanced with reports from the Auditor/Controller to reconcile the use of Title IV-B and Title IV-E funds. This reconciliation is completed daily and monthly by DESS staff. Information from this process is compiled into a calendar month end report and transferred to a state claim report. This claim is then submitted to the state.

Yolo County plans to replace WCDS with the CalWIN system.

County General Ledger System

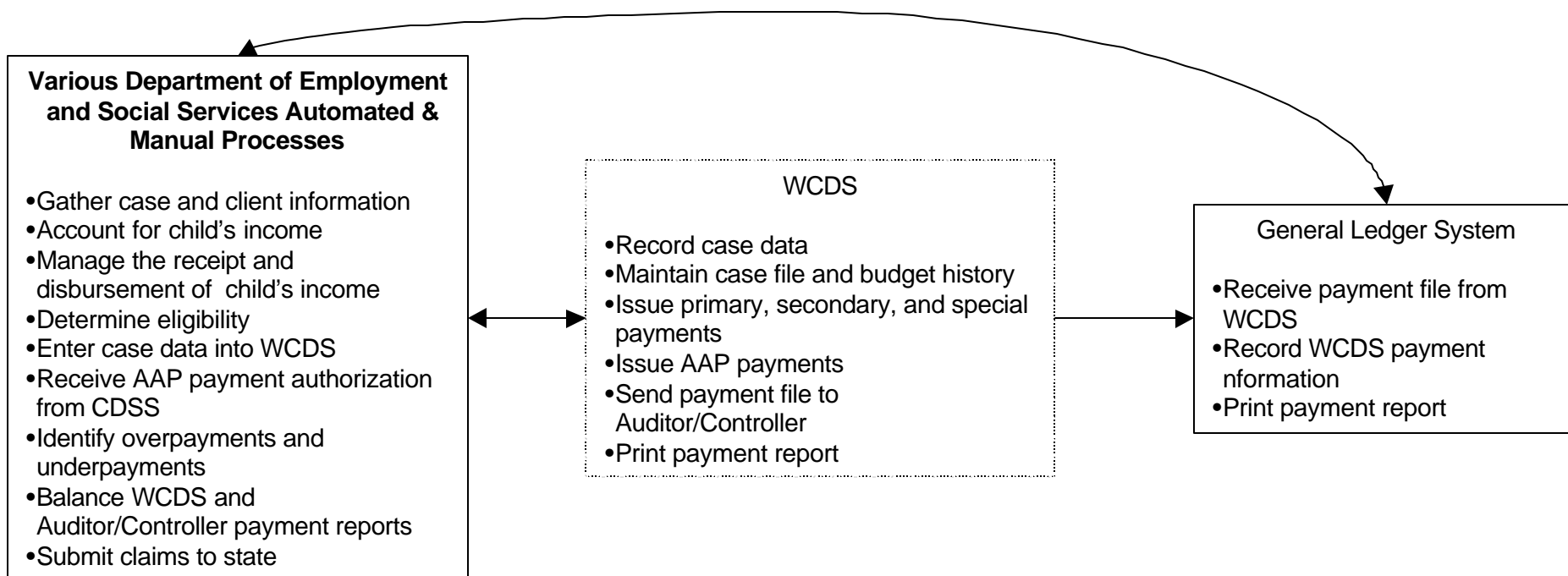
The Yolo County Auditor/Controller utilizes a general ledger system to record WCDS issued warrants. The information is received from WCDS through an automated interface. DESS staff receive a daily report from the Auditor/Controller to aid in reconciling provider payments. Further, information from the general ledger system is used to compile the monthly claim that is submitted to the state.

The Auditor/Controller tracks cashed and non-cashed warrants. DESS cancels stale-dated warrants in WCDS upon notification from the Auditor/Controller.

System Interfaces

The following system flow diagram shows how the above systems interface and some of the specific functions contained within each system.

YOLO COUNTY SYSTEM FLOW DIAGRAM



Dashed borders indicate a system that CalWIN plans to replace.

APPENDIX D

Appendix D: County and Consortia Contacts

WCDS and CalWIN Counties		
County Name	Contact Name	Phone
Alameda	Marilyn Ghiorso Elliot Robinson	510-268-2736 510-271-9130
Contra Costa	Alice Weed Pam Wilson Judy Simmons Adela Brower	925-313-1677 925-313-1512
Fresno	Gary Johnson	559-453-6761
Los Angeles	Pam Jacobian	562-497-3352
Merced	Rhonda Walton Cheryl Ming	209-385-3000 ext. 5260 209-385-3000 ext. 5255
Orange	Candyce Ping	714-541-7830
Placer	Lonna Garner Hali Reyes Stacy Dean Jim Nissen	530-886-1806 530-886-1812
Riverside	Jeff Ward Kali Sorrels-Goode Stacey Claflin	909-358-3137 909-358-3283 909-358-3108
Sacramento	Sue Tucker	916-875-3607
San Bernardino	Pat Sharrit	909-383-9600
San Diego	Ricardo Gutierrez	619-515-6963
San Francisco	Paul Rosenberg Barbara Price	415-557-5544 415-557-5544
San Luis Obispo	Roberta Mangini Glenn Goodman Gladys Kintz Pauline Barnett Alice Rackley Patti LaRose	805-781-1842
San Mateo	Stan Anderson Bill Dean	650-595-7578 650-595-7606
Santa Barbara	Farrell Kisio	805-346-7355
Santa Clara	Larry Engstrom Mary Chaboya	408-441-5115 408-441-5497
Santa Cruz	Nyla Noroyan	831-454-4074
Solano	Ron Buehrer Jane Braddock	707-553-5536 707-553-5219
Sonoma	Jeannine Scannell	707-565-5812
Stanislaus	Patrice Merry Jackie Davis Barbara Frederick	209-558-2943 209-558-2437 209-558-2671
Tulare	Jim Ware John Mauro Karen Ferguson Patty Woody	559-737-4660 ext. 2265 559-733-6769 ext.295 559-737-4660 ext.2109 559-737-4660 ext.2604
Ventura	Jan Standing Kathy Smith	805-654-3446 805-654-3049
Yolo	Jackie Kiehn	530-661-2708
SAWS Consortia		
LEADER	Rene Camou	562-409-7536
CalWIN Consortium	Sandra Erbs	916-608-3355
C-IV Consortium	Van Van der Zyde	916-859-4955
ISAWS Consortium	Julie Rogers	916-488-3113